USAID Target Enterprise Information Architecture

System Requirements Report

Appendices

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USAID
PRIME

Principal Resource for
Information Management Enterprise-wide

USAID

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Appendix A. Issues

This appendix contains three types of issues: (1) open issues (listed in Appendix A.1), (2) issues on which working decisions affecting the architecture have been reached (listed in Appendix A.2) and closed issues (listed in Appendix A.3).

The issues identified fall into the following areas:

AA   Acquisition and Assistance

BU   Budget

FM   Financial Management

HR   Human Resources

KM   Knowledge Management

OP   Operations

PM   Property Management

Other   Agency modernization issues that do not clearly fall into one of the areas above

Sources:

IPT = Integrated Project Team, May-September 1999, and/or spin-off meetings of IPT

CIRB = CIRB review, November 1999, and/or follow-on detailed review

MSN = Mission visits, November 1999

A.1   Open Issues

These are agency modernization issues or business process issues that should be tracked and resolved as part of the ongoing Information Systems Modernization effort.

Table A-1 lists and discusses open issues.

Table A-1. Open Issues

No.	Open Issue	Notes	Source
AA-1	Procurement planning	Procurement planning needs to be linked to the R4 process and needs to be done at a preliminary level prior to detailed planning. (See issue OP-4)	IPT
AA-2	Procurement workflow flexibility	What is the mix of process enforcement/workflow flexibility we want in the system?	IPT
AA-3	Procurement data capture	How much, and which, data really needs to be captured during the procurement process? Procurement should only require the steps and data pertinent to the type of instrument being used.	IPT, CIRB (comment 97)
AA-4	Speeding up procurement process	In what ways can the procurement system help speed up the procurement processing flow?	IPT
AA-5	Field support	A specific Global Bureau procurement mechanism requiring elaboration in the architecture is field support. See OP-7.	CIRB (comments 11, 93)
BU-2	Emphasis area coding	Can emphasis area coding be treated as a budgeting process only, or must we track through funds control (accounting)? Clarification: Emphasis areas are defined by M/BUD. Each OU breaks down its budget request for each Strategic Objective (SO) by percent contribution to emphasis areas (e.g., 30% environment, 70% education); once set, this generally doesn't change. Agency rolls up amounts in emphasis areas across all SOs, under different program mixes -- e.g., if we drop this SO and fund that one, are we still meeting targets? Emphasis areas are also used in expenditure reporting.	IPT, CIRB (comment 94)
BU-6	"Projects" vs. "Strategic Objectives"	Agency is currently trying to support both operational concepts, complicating budgeting and reporting. Clear and unambiguous agency-wide direction is needed. Working decision for architecture: use SO. T. Rishoi is working with upper management to get a firm decision on the terminology and consistency issue. Also tracked as OP-1.	IPT
BU-7	BHR budget requirements (Food for Peace, disaster relief, etc.)	Budgeting requirements for humanitarian relief efforts, including Food for Peace and disaster relief, need to be diagramed in the System Requirements Report (SRR). The case of Food for Peace is special because it is a joint program with the U.S. Department of Agriculture (USDA). The USDA makes its contribution in food, and USAID pays for the transportation. We have not examined any unique information needs.	IPT, CIRB (comment 13)

No.	Open Issue	Notes	Source
BU-8	Account Classification Structure (ACS)	The agency needs to define an accounting and reporting structure or set of structures that will meet the needs of (a) program planning and budgeting (planning/costing a mix of activities and supporting instruments for achieving results toward an SO, sufficiently detailed for iterative refinement under alternative scenarios); (b) funds allocation and control (allocating/controlling funds to a level at which agency officials can ensure compliance with appropriations for SOs, while allowing management flexibility to respond to changing needs in supporting activities); (c) managerial information collection/synthesis (recording, gathering, and reporting financial information so that financial resources can be attributed to the results to which they contribute, for purposes of managerial analysis and Congressional reporting).	IPT, CIRB (comment 8)
BU-9	Resource Category Codes (RCC)	The budget system needs to be able to permit operating units to "allocate" their operating expenses operating year budget (OE OYB) by resource category and prepare new budgets by RCC (expanded object class codes). One major problem currently is that organizations cannot get information comparing how they planned to spend their OE (by RCC) with actual obligations, nor is any information other than actual obligations available by RCC.	CIRB (comment 6)
BU-10	Automation of external interfaces	USAID must prepare to utilize evolving electronic information exchanges with the Office of Management and Budget (OMB) (in areas such as Internet apportionment processing, submission of annual budget requests and Congressional justifications, and preparation of the annual President's Budget Appendix).	CIRB (comment 14)
HR-1	Revised Automated Manpower & Personnel System (RAMPS) replacement	This issue is the most crucial HR concern. What steps need to be taken to move forward on this? The agency needs to investigate the possibility of outsourcing (cross-servicing) with other entities such as Department of State and National Finance Center.	IPT
HR-2	Cross-servicing and similar opportunities (e.g. State Department HR)	Offers opportunity for cost savings by cross-servicing or other arrangements. These opportunities need to be identified and investigated.	IPT
KM-1	Knowledge Management initiative	A Knowledge Management (KM) initiative is needed to address the increasing volume of information and the need for the agency to leverage it quickly. A cross-cutting agency group needs to take leadership. Opportunities to take advantage of: ADS series 200 rewrite, architecture definition (technical infrastructure for KM), dialogs with Department of State on closer collaboration.	IPT
KM-2	Tracking knowledge assets	The agency needs to link SOs and knowledge assets; for example, a common document management numbering system covering projects documents, contract documents, etc.	IPT
KM-3	Knowledge retention	Retention of knowledge when people leave the agency needs to be addressed (e.g., a tie between personnel/training records and agency knowledge assets and capabilities).	IPT

No.	Open Issue	Notes	Source
KM-4	Records and documentation standards, policies, and procedures	The agency needs clear directives defining documentation a mission is required to provide to Washington, a process that promotes adequate and timely availability of project documents to the agency community, a records policy that addresses electronic documents, and a mapping between program document types and the DOD standards for document management that National Archives and Records Administration (NARA) endorses.	IPT
KM-5	Contractor information in agency knowledge base	Program knowledge is often contained in contractor proposals. The agency needs an approach for identifying and accessing development information contained in such sources while respecting contractor proprietary information.	IPT
OP-1	Allow a "project" to be defined in the account structure?	See BU-6.	IPT
OP-2	Identify current "projects" spread across multiple SOs	Transition issue. The Stat Annex can be used as a starting point to identify these projects.	IPT
OP-3	Determine how to migrate "projects" spread across multiple SOs to future syste.	Transition issue. No action at this time. Will need to identify and determine whether to correct these in AID Worldwide Accounting and Control System (AWACS) during FY 2000, or during data migration to the new accounting package.	IPT
OP-4	Linking the planning cycle to the budgeting cycle	What are the issues, and what are the implications for the new system? See also AA-1.	IPT
OP-5	Adequacy of current requirements	Are current Ops requirements (never fully implemented) sufficient for supporting planning, day-to-day operations, and results tracking?	IPT
OP-6	ADS 200 revision	What is the impact of ADS 200 revisions on Ops business architecture and definitions?	IPT
OP-7	Agency and central bureau program operations processes	USAID business processes at the overall agency planning level and at the central bureau level (Global programs and Humanitarian Relief) need to be reflected in the SRR. In some cases, the central bureaus have developed in-house information management systems for processes that must be integrated into the new information systems. See also AA-5 and BU-7.	IPT, CIRB (comment 25)
PM-1	Tracking property in the custody of agency partners	The Property Management business area does not fully address the acquisition and disposal of agency program property in the custody of partners (nor does the Acquisition and Assistance (A&A) area). Agency requirements need to be defined and implications for information architecture assessed. This activity needs to be coordinated with agency plans for procurement of the Property Management module.	IPT, CIRB (comment 95)

No.	Open Issue	Notes	Source
PM-2	Fleet management	Should fleet management in the missions be treated as outside the scope of the financial/mixed financial system, or within it? How the agency handles this may in part depend on the capabilities that come with an ERP property management module.	IPT

A.2 Issues With Working Decisions

These decisions were made in architecture review meetings between USAID business owners and the PRIME and documented in the minutes of those meetings, except where noted differently in Table A-2.

Table A-2. Issues With Working Decisions

No.	Issue with Working Decision	Working Decision	Source
HR-3	Employee categories to which the target HR system applies, in Washington and missions	Working decision: Target system will automate HR processes for Civil Service (CS) and Foreign Service (FS) but provide only certain information (e.g., number) for the other types (e.g., Foreign Service Nationals (FSNs)). Open question: HR tools for mission use to manage FSN workforce.	IPT
BU-1	Scope of budget data	During budget formulation, user needs to see information about past year obligations and expenditures, current year OYB, pipeline, and mortgage; also need to deal with missions transferring funds to the Global Bureau for procurements. Clarification: Mortgage is 100% a budget issue; the others draw on financial performance data.	IPT
BU-3	Transaction-based budgeting	Budget system must allow for record of changes (budget iterations or audit trail) during budget formulation. Open question: details of process and requirements. Clarification: During budget formulation, tracking changes by saving past iterations of the overall budget is probably sufficient. During negotiations leading up to OYB distribution, tracking changes at the budget item level would be helpful.	IPT
BU-4	Budget ceilings	Working decision: Budgeting system should provide for alternative budget scenarios and the ability to impose mandatory ceilings on at least one scenario. Open question: details of process and requirements.	IPT
BU-5	Congressional notification (CN)	Working decision: Support tracking of CNs and technical notifications (TNs) in the system. More an accounting function than a budgeting one. Hook to budgeting is to capture amounts in the Congressional Presentation Statistical Annex in the integrated system. Clarification: "tracking" implies that the financial system does not permit allowances to be issued on any budget item covered by an outstanding CN or TN. This is to assure that USAID avoids premature obligation of funds.	IPT, CIRB (comment 9)

A.3 Closed Issues

These are agency modernization issues or business process issues that have been closed as part of the ongoing Information Systems Modernization effort.

Table A-3 lists and discusses closed issues.

Table A-3. Closed Issues

No.	Closed Issue	Notes	Source
FM-1	Travel Management	Identified as issue in interface discussion between PRIME and the Financial Management Bureau (FM). This area has not been analyzed for future system implications. *RESOLUTION (February 2000): Travel and Transportation included in Business Services business area of the SRR.*	IPT
other-1	Office of the General Counsel (GC) automation needs	GC information needs should be analyzed to identify opportunities for making records and document management more efficient and centralized. Automation capabilities should be leveraged to improve GC provision of legal services to offices elsewhere in the agency (e.g., access to internal USAID documentation for review and clearance). GC information includes litigation files, correspondence files, opinion files, financial disclosure statements, ethics training records, and legal publications. *RESOLUTION (February 2000): GC information needs to be documented as part of the Knowledge Management and Program Operations business areas of the SRR.*	IPT
other-2	Office of Equal Opportunity Programs (EOP) automation needs	EOP process and automation needs should be documented. Interfaces between EOP and HR should be evaluated as HR automation solutions are investigated. Reporting tools and processes should be analyzed and streamlined where possible. *RESOLUTION (February 2000): EOP Processes included in the HR business area of the SRR.*	IPT
PM-5	Near-term (Y2K) PM implementation issue	Issue is how decisions made to address near-term problems will mesh with to-be architecture. *RESOLUTION (February 2000): Y2K issues having been dealt with, procurement of future PM module should proceed in accordance with modernization plan and SRR.*	IPT

Appendix B. Business Areas Interface Tables

Each USAID business area exchanges information and data with other business areas and with entities external to USAID. Specification of the interfaces provides system requirements for the transfer of data that the USAID target information technology architecture needs to support. This Appendix presents the interfaces in the format of tables, which include details of the exchanged data, and in diagrams, which synthetically illustrate the interfaces.

Section B.1presents the interfaces among the USAID business areas (internal interfaces). Section Section B.2 presents the interfaces between the USAID business areas and external entities. Section B.3 presents the local operating unit interfaces.

B.1.   Internal Interfaces

The USAID business areas interface with each other in conducting the activities that support the USAID objectives.Table B-1 presents details of these interfaces sorted by the business area that is the source of data and information.

The content of the table columns is as follows:

- "FROM" is the source of the interface data

- "TO" is the recipient of the interface data

- "Interface Definition" details the types of exchanged data

- "Clarifications" provides information, as needed, about the interface and each data type

The "Clarifications" column also contains some topics related to interface automation and processing of the data.

Figure B-1 is a data flow diagram that provides a graphical view of the interfaces presented in Table B-1. Each USAID business area is represented by a high level process. Each interface is represented by a data flow naming the most important information links between the interfacing processes. For convenience of reference, the table contains information extracted from the supporting data dictionaries. Refer to the data flow dictionaries in the pertinent business area appendixes for the complete definitions.

The short names of the business areas follows:

- A&A   Acquisition and Assistance

- Bud   Budget

- FM   Financial Management

- HR   Human Resources

- KM   Knowledge Management

- Ops   Program Operations

- BSS   Business Support Services (Property Management,Travel and Transportation)

Table B-1. Major Interfaces Among Business Areas
(Alphabetized by FROM Business Area)

FROM	TO	Interface Definition	Clarifications and Automation Issues
A&A	FM	Payment authorization – A payment authorization includes the following data: obligation number (or voucher number) vendor ID dollar amount date	A payment authorization is the notification from thecontractor's technical officer (CTO) (or authorizing officer) to the FM. For loans, grants and leases, it may include a payment period or payment dates.
A&A	FM	Procurement document: commitment document + de-commitment document + obligation document + de-obligation document	See individual definitions below.
		Commitment document – A commitment document includes the following data: requisition number requestor identification purpose accounting classification dollar amount date	Commitments are an (optional) stage before an obligation. In general they may be made at any point up to the time of obligaation. The dollar amount may be an estimate of the amount that will be obligated.
		De-commitment document – A de-commitment document includes the following data:	De-commitments occur when there is a change in the acquisition scope or a reduction in expected amount. In general, the system should allow

FROM	TO	Interface Definition	Clarifications and Automation Issues
		commitment ID dollar amount date	increasing or decreasing the committed dollar amount.
		Obligation document – An obligation document includes the following data: obligation document number and type vendor ID accounting classification referenced commitment(s) dollar amount date period of validity	An obligation is a written agreement establishing responsibility to effect payment pursuant to delivery of goods or services.
		De-obligation document – A de-obligation document includes the following data: obligation ID dollar amount date	De-obligations occur when there is a change in the contract with a reduction of the obligated amount. In general, the system should allow changes for increasing or decreasing the obligated dollar amount.
A&A	FM	Vendor information – Vendor information includes: vendor ID vendor name address(es) and phone number(s), bank account(s) and electronic fund transfer information other required information for advertising, disbursement, and	Vendor (or payee) information includes data to support obligation, account payable, and disbursement. "Payee" includes any entity to which a disbursement may be made: vendors, grant and loan recipients, employees, and other government agencies. Payee information is maintained and coordinated among the business areas that need it such as procurement and payment. Vendor information may be implemented in a table or storage common to many business areas. The table is accessed

FROM	TO	Interface Definition	Clarifications and Automation Issues
		reporting,	and updated by authorized users.
A&A	FM	Close-out notification	Notification to the FM business area that no more financial activity against an award is to be forthcoming.
A&A	HR	Personal service contractor (PSC) employees	HR needs aggregate numbers of PSCs employed across the agency. The method of information transfer between A&A and HR needs to be defined.
A&A	BSS	Acceptance criteria	Guidelines to inspect delivered personal property based on the original purchase order.
A&A	BSS	Final disposition of property	Specification as to the manner in which any program property remaining at the close of an award will be disposed.
A&A	Ops	Award	Official agency records of awards, with records of all subsequent award modfications. Award records should be centralized and accessible to program technical officers as necessary, not duplicated across organizations.
Bud	FM	Operating year budget (OYB) distribution data – Information enabling authorized officials throughout the agency to commit, obligate and expend funds according to the OYB. OYB distribution data include: Strategic objective (and activity) definition and code sources of funds codes restrictions and constraints dollar amount date and period of validity	Budget authority is conveyed as allotments to bureaus and allowances to operating units. The OYB sources include appropriations and other sources such as reimbursements from non-U.S. Government sources, trust funds from other countries, contributions, donations, and unused prior year budget authority. Each source of funds may contain restrictions and constraints on the use of funds. For instance, appropriations may include earmarking; OMB apportionments (e.g., SF132 approved requests) may include President's budget directives; and other sources may direct fund use to specific objectives.
Bud	FM	Trust fund reports	Status of local currency trust fund activity sent to USAID/W through regular

FROM	TO	Interface Definition	Clarifications and Automation Issues
			summary reports. USAID/W consolidates these reports and transmits them to the Treasury through the Department of State.
Bud	FM	International Cooperative Administrative Support Services (ICASS) financial data	ICASS service bill (from Department of State), ICASS service reimbursement costs or receipts, and ICASS cost distribution across USAID organizations.
Bud	Ops	Resource constraints – The actual amount of resources planned to be available to be committed, obligated, and expended for an activity	
Bud	Ops	Budget guidance	Policies, budget control amounts, and budget formulation schedule. Distributed from the Budget office to the bureaus and from the bureaus to the operating units.
Bud	Ops	Budget execution information	Budget execution reports and budgetary event notice. The system should be able to automatically notify program officers of budgetary events; for example, when obligations have exceeded a set percentage of budget authority.
FM	Bud	Unused prior year budget authority - Amounts of the funds authorized for any year prior to the current operating year that have not been obligated or expended by the agency. Data include account codes and original fund destination.	Budget authority consists of the legal authorization to enter into obligations that result in outlays (cash disbursements) of government funds. The unused prior year budget authority data are normally used for budget preparation.
FM	Bud	Financial performance status (for current or prior year) – Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting classification structure (ACS) levels. This data may be for the current year or any prior year, as requested.	The financial performance status is the actual financial information reflecting all agency transactions (events that change USAID financial position).

FROM	TO	Interface Definition	Clarifications and Automation Issues
FM	Bud	ICASS financial data	See definition under "Bud to FM"
FM	Ops	ACS – ACS represents the structure of accounting information that needs to be captured and reported.	ACS is managed by FM with inputs from SGL, Treasury, budget (OMB), and program operations. ACS provides an integrated structure for use by budget (budget formulation and execution), program operations (program expenditures and performance measurement), and financial management (accounting, funds management). (JFMIP FCS Req.)
FM	Ops	Financial performance status (for current or prior year)	See definition under "FM to Bud"
FM	Ops	Unused prior year budget authority	See definition under "FM to Bud"
FM	BSS	Property asset accounting data – Portion of acquisition cost that is attributed to the property asset.	Acquisition cost is the cost of the property plus any transportation charges; handling and storage costs; labor and other direct or indirect costs (for goods produced or constructed); and outside services for design, plans, or specifications, billed from sources other than the vendor. Used in property management processes.
FM	BSS	Financial performance status (for current or prior year).	See definition under "FM to Bud". Used in travel and transportation processes.
HR	FM	Payroll-FM data -- Payroll transactions include aggregate payroll, payroll accrual, salary, medical, benefits, leave, FED-TAX transactions (Federal, FICA, Medicare tax payments), State tax payments (automatically scheduled and disbursed), payroll advances, and allowances.	Used to update FM accounts to reflect payroll transactions and changes in employee leave balance.
HR	BSS	Staffing strategy – Approved count of employees to be assigned to an operating unit.	Used in property management processes to determine living space requirements.
HR	BSS	Personnel record. Includes information on:	The official record of an employee's history with USAID. In the business

FROM	TO	Interface Definition	Clarifications and Automation Issues
		employee identification, location, organization, emergency evacuation, assignments, authority, and collateral duty benefits, beneficiary, and allowances education, training, employment counseling disability, diversity promotion, tenure, separation pay level and leave work objective, work evaluation	support services area, only the basic employee information/location information is needed.
HR	BSS	Assignment nomination cable	A cable from the HR Office in USAID/W informing missions of the assignment of an employee to a post.
HR	BSS	Living Quarters Allowance (LQA)	LQA for employee posted overseas.
KM	Ops	agency development knowledge	Agency development knowledge retrieved through the knowledge management system for application to a particular development project, issue, or problem.
Ops	A&A	Program/ operating expense (OE) needs	Program needs are goods and services necessary for achieving the strategic objective. OE needs are required to meet administrative or facility requirements in order to support the program.
Ops	A&A	Resource constraints	Constraints on available resources for planning purposes.
Ops	A&A	Program results	A result is brought about by the intervention of USAID in concert with its development partners. A result is also the basis for authorizing payment to a partner.
Ops	A&A	Input to request	Information needed to formulate a request for acquisition or assistance.
Ops	A&A	Contractor evaluation	A CTO's evaluation of the performance of the contractor. The basis for authorizing payment to the contractor.

FROM	TO	Interface Definition	Clarifications and Automation Issues
Ops	Bud	Upcoming obligations	Notice of a planned upcoming obligation for purposes of informing Congress via Congressional or Technical Notification (CN or TN).
Ops	Bud	Resource request – A forecast by time period (month, quarter, or year) of labor, goods, services, etc., required to carry out a given activity over its expected lifetime.	Resource requirements are expressed as estimated financial obligations for the purpose of budgeting. They are collected from operating units as part of the annual results review and resource request (R4) process
Ops	FM	Strategic objective(s) (SO) activity structure – The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.	FM requires establishment of the SO activity structure before accounts can be set up. May be updated when there are changes in the SO and in the structure.
Ops	HR	Skill requirements – A forecast of skills and staff level for a period of time required for carrying out a set of activities.	Skills and knowledge (human resources) required for carrying out activities in support of a strategic objective. Used in the human resources workforce planning business process to help direct human resources to areas where they are needed and to plan the agency's acquisition of any skills and knowledge of which it is deficient.
Ops	KM	Agency development knowledge	See definition under "KM to Ops"
BSS	A&A	Notification of receipt – Receiving reports indicates item cost in U.S. currency and note any damage or discrepancies. Reports also include owner of item, procurement document number, receiving report number and date, and method of acquisition.	Used in property management processes. May consist of successive notifications in the event of a multiple-part shipment The system may record the notification of receipt in a common repository, since multiple business areas need this information.
BSS	A&A	Currently available property	Personal property that is currently in the inventory.

FROM	TO	Interface Definition	Clarifications and Automation Issues
BSS	A&A	Replacement needs	Personal property in the inventory that needs to be replaced because it has met its useful life or will meet its useful life within the next procurement cycle
BSS	FM	Initial value of asset	Value of property when acquired and placed under property management control.
BSS	FM	Asset disposal – Includes: -- identification of property disposed -- means of disposal -- recipient of title transfer (if any) -- proceeds of sale (if any)	Record of disposal of property
BSS	FM	Notification of receipt –	See definition under "BSS to A&A"
BSS	FM	Capitalized asset depreciation	Information reporting on the depreciation of capitalized property.
BSS	FM	Inventory value	The value of capitalized and non-capitalized inventory based on physical counts, unit prices, and cost flow.
BSS	HR	LQA request–	Request for authorization of living quarters allowance. Processed through HR/payroll.
BSS	HR	Property issued/transferred – Includes Identification of property item issues Person or organization to whom property item is issued Location to which property item is	Record of issuance/transfer of property.This interface is an inferred improvement rather than a current requirement. Analysis suggests that records of property assigned to employees could be integrated with an agency employee database (neither automated nor integrated in current system).

FROM	TO	Interface Definition	Clarifications and Automation Issues
		issued Location from which property was transferred	
BSS	FM	Procurement document	See definition under "A&A to FM"

Figure B-1. Business Areas Internal Interfaces

acs
financial performance status
unused prior year budget authority

so activity structure

agency development knowledge
program results

7 Knowledge Management

budget execution information
budget guidance
resource constraints

1 Program Operations

resource request
upcoming obligation

public domain development knowledge

agency working information *

agency historical records

2 Budget

resource constraints
program/oe needs
program results
input to request
contractor evaluation

5 Human Resources

payroll-fm data

skill requirements

personal services contract employees

award

oyb distribution data
trust fund reports
icass financial data

financial performance status
unused prior year budget authority
icass financial da

staffing strategy
personnel record
assignment nomination cable
lqa

lqa request
property issued/transfered

3 Acquisition and Assistance

vendor information
financial performance status

acceptance criteria
final disposition of property

payment authorization
close-out notification
vendor information
procurement document

currently available property
replacement needs
notification of receipt

property asset accounting data
financial performance status

6 Financial Management

4 Business Support Services

capitalized asset depreciation
initial value of assets
notification of receipt
inventory value
asset disposal
procurement document

(includes Property Management and Travel and Transportation Management)

* agency working information = data from current agency operations and business activities (including data flows on this diagram and those internal to the business areas)

B.2   External Entities Interfaces

The USAID business areas exchange information and data with entities external to USAID, which are part of the U.S. Government, and of private or foreign government sectors. Table B-2 presents details of these interfaces grouped by business area.

The content of the table columns is as follows:

- "FROM" is the source of the interface data

- "TO" is the recipient of the interface data

- "Interface Definition" details the types (the number identifies each type) of exchanged data

- "Clarifications" provides information, as needed, about the interface and each data type

The "Clarifications" column also contains some topics related to interface automation and processing of the data. Possibility of interface automation is constrained by the capabilities of the external entity.

Figure B-2 is a data flow diagram that provides a graphical view of the interfaces presented in Table B-2. The external entities (named with a short indication of the entity) and the overall USAID business areas (named "BAs") are represented by actors. A brief description within the System Architect (SA) actor object defines the business area. Each interface is represented by a data flow link, named as "source actor short name to destination actor short name". A summary indication of the data exchanged is attached to the data flow. The data flow description includes the content of the table columns "Interface definition" and "Clarifications". For convenience of reference, the table contains information extracted from the supporting data dictionaries. Refer to the data flow dictionaries in the pertinent business area appendixes for the complete definitions.

The short names of the business areas follows:

- A&A   Acquisition and Assistance

- Bud   Budget

- FM   Financial Management

- HR   Human Resources

- KM   Knowledge Management

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- Ops   Program Operations

- BSS   Business Support Services (Property Management, Travel and Transportation)

An external entity named "External Operations" is used here to represents the following actual external entities, with which USAID business areas interface:

- Partners: U.S. or foreign organization or customer representative with whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results

- Customers: normally in the host country, are the recipients of strategic objective results

- Host country government: interacts with a USAID operating unit to achieve a strategic objective.

An external entity named "Employee" represents the interactions that agency employees have with the business areas as individuals as well as in their employment roles. Although they are not outside the agency (except personal service contractors (PSCs)), the interfaces between the considered business areas and "Employee" should be considered external.

Table B-2. Business Areas Major Interfaces With External Entities
(Grouped by Business Area)

FROM	TO	Interface Definition	Clarifications
Acquisition and Assistance			
Vendor	A&A	1. solicitation response 2. protest 3. request to modify award	Vendor is a person, company, or organization, including non-governmental organizations (NGOs) and private voluntary organizations (PVOs), that provide goods and/or services to USAID.
A&A	Vendor	1. solicitation 2. award notification 3. award 4. award modification	
A&A	SBA	subcontracting statistics	Small Business Administration (SBA)
A&A	OMB	federal procurement actions report	Office of Management and Budget (OMB)
A&A	Congress	reports on acquisition and assistance actions	Reports to Congress regarding USAID A&A actions, made on an ad hoc basis in response to inquiries or

FROM	TO	Interface Definition	Clarifications
			in support of presentations.
NIH Past Performance Database	A&A	contractor past performance	National Institutes of Health (NIH) The agency uses a database maintained by NIH to record past performance data; only available for the contracting officer (CO)
Budget			
OMB	Bud	1. OMB guidance and level controls: 1.1 OMB base 1.2 Circular A-1 1.3 deflator amounts 1.4 OMB passback 1.5 OMB mark 2. approved apportionment	OMB 1. a combined interface including: 1.1 the baseline budget from the OMB 1.2 an OMB directive on how to prepare the OMB submission and President's Budget 1.3 (none) 1.4 the initial amount that the OMB has determined the agency can request from Congress for a given fiscal year. 1.5 the final budget levels approved by the OMB, which the agency can request from Congress for a given fiscal year. 2. the amount of the requested apportionment approved by the OMB.
Bud	OMB	1. OMB submissions 2. apportionment request 3. COBRA Report	Office of Management and Budget 1. a combined interface representing all submissions from USAID to the OMB, including: 1.1 budget submission (a complete budget ready for submission to a higher authority.) 1.2 budget explained (the justification provided for any budget items in question.)

FROM	TO	Interface Definition	Clarifications
			1.3 President's budget (annual budget request to Congress by the President, prepared by federal agencies under the direction of OMB. It is a summary of economic and fiscal conditions affecting the preparation of the budget, narrative, along with a listing of each individual appropriation account for all agencies and programs for a 3-year period -- actual (prior) year, operational (current) year, and budget (next) year.) 1.4 any data required for negotiations involving appeal of the OMB passback. 2. The amount of funding asked of OMB, by USAID, to be made available for obligation. This is done by the "Apportionment and Reapportionment Schedule" of the OMB. Funds are requested at the account level. 3. The COBRA report is based on the Consolidated Omnibus Budget Reconciliation Act, which includes fuel consumption, maintenance costs, other indirect costs, and acquisition information. The report is forwarded to OMB.
U.S. Government Agencies (USGA)	Bud	1. transferred funds 2. reimbursement	Agencies of the U.S. Government other than USAID. 1. Funds allocated from other agencies, under various legislative authorities, which move budget authority between agencies. (also, funds transferred between USAID accounts.) 2. Funds transferred between another agency and USAID for obligation on behalf of that agency.
Bud	U.S. Government	transferred funds	See definition under "USGA to Bud"

FROM	TO	Interface Definition	Clarifications
	Agencies (USGA)		
Bud	State Department	1. budget draft submission 2. International Cooperative Administrative Support Services (ICASS) workload requirements	1. A draft of the agency budget provided to the Department of State for review and comment.
State Department	Bud	1. budget submission review 2. ICASS MOU 3. ICASS invoice	1. Review comments on the agency budget from the Department of State. 2. ICASS memorandum of understanding (MOU) establishing the services requested by the agency or to be offered by the agency to other ICASS customers. 3. Notification to a USAID operating unit of the ICASS services for which it will be billed and the amount to be billed.
Bud	Host Country Government	Trust fund report	Status of local currency trust fund activity sent to USAID/W and the host country government through regular summary reports. For the host country, the reports depend on local regulations and the requirements of the trust fund agreement. In USAID/W, M/FM) consolidates these reports and transmits them through the Department of State to the Treasury.
Host Country Government	Bud	Trust fund agreement	A legal agreement enabling a host country government to contribute to USAID's economic assistance program in the country's own currency. The trust fund agreement establishes USAID management authority over the funds and identifies the uses to which the funds can be put.
Bud	Congress	1. Congressional presentation (CP) 2. Notification: Congressional notification (CN) and Technical notification (TN)	1. USAID's formal request to Congress for resources. The CP provides detailed justification of the rationale for proposed activities in each country and program worldwide. 2. A CN or TN informing Congress of

FROM	TO	Interface Definition	Clarifications
			planned USAID obligations. 2.1 CN is required by law whenever USAID adopts a new strategic objective, increases a funding level by $5 million or more, radically redesigns an activity, funds an activity from a new account, or performs a cash transfer in support of an activity. 2.2 A TN is prepared whenever the OYB funding of an ongoing activity is increased by 10% or more (in the development assistance account) but by less than $5 million. Other accounts such as economic support funds require technical Notification for increases of any amount.
Congress	Bud	1. CP format 2. foreign assistance legislation 3. appropriation	1. The format in which Congress wishes to see the budget presented. This format can change from year to year. 2. The enabling legislation for USAID, primarily the Foreign Assistance Act of 1961 (as amended), together with annual appropriation legislation. 3. An act of Congress permitting Federal agencies to incur obligations for a specified purpose, e.g., Foreign Assistance and Related Programs Appropriation Act, 1990.
Financial Management			
DHHS	FM	1. detailed transaction level of: 1.1. advance transactions 1.2 expenditure transactions 1.3 original obligation amount 1.4 adjustments to obligation balances (expenditure transaction SF272)	Letter of Credit (LOC) grant transactions are outsourced to the Department of Health and Human Services (DHHS) 1 track LOC balance; 2. USAID uses pooling method for drawdown (5805) transactions; 3. reconcile general ledger

FROM	TO	Interface Definition	Clarifications
		2. 5805 transactions (monthly weighted average unliquidated balance across appropriations) 3. grant closeout information	
FM	DHHS	current information regarding grantee: 1 grant award, 2 recipient organization, 3 banking information	LOC grant transactions are outsourced to the Department of Health and Human Services (DHHS) 1. extract grant information
FM	Financial Institutions	1. local bank PAYLINK or other bank system 1.1 electronic transmission of payment 1.2 transactions and payment schedules data 2. automated credit card systems 2.1 credit cards payment schedule 3. lockbox services 3.1 daily report of account receivable (unmatched accounts receivables)	1. USAID processes trust fund payment via local banks worldwide. Needs to format schedules and payments to meet PAYLINK or bank constraints for foreign currency or dollar. 2. automated scheduling and electronic payment to financial institution; 2.1 match purchases to obligation documents; 2.2 process credits from vendors. 3. financial institutions make various kind of collections on behalf of USAID. 3.1 generate daily report of account receivable for billing office to provide information for follow-up on unmatched account receivables
Financial Institutions	FM	1. local bank system 1.1 updated payment status (from "disbursement in transit" to "disbursed") via bank statement / payment records 2. automated credit card systems	1. USAID processes trust fund payment via local banks worldwide. 1.1 update payment records 2. automated credit card system implemented with an outside financial institution for public disbursements and collections.

FROM	TO	Interface Definition	Clarifications
		2.1 purchasing activity information 3. lockbox services 3.1 daily report containing collections data at transaction level (deposit with the Federal reserve)	2.1 record general ledger transactions; change general ledger accounts (line item level) for not-standard transaction purchases. 3. financial institutions make various kind of collections on behalf of USAID. 3.1 record, post, and reconcile collections; match collections to account receivable. Performed via an interface file.
FM	State Department	1. United States Disbursing Office (USDO) 1.1 electronic transmission of SF 1166 data (payment transactions and payment schedules) 2. personal service contractor (PSC) 2.1 PSC Data	1. USDO. USAID processes most foreign currency payment via USDO. 1.1 Needs to format schedules and payments to meet USDO constraints (e.g., one foreign currency per schedule) 2. PSCs are vendors designated as "Employee". 2.1 process disbursements and produce W2.
State Department	FM	1. USDO 1.1 updated payment status (from "disbursement in transit" to "disbursed") via FMC 80 file or SF 1221 1.2. external payroll via USDO, FSC payroll service; mission systems 1.2.1. payroll transactions: 1.2.1.1 payroll accrual, salary, medical, benefits, leave 1.2.1.2 FED-TAX transactions (Federal, FICA, Medicare tax payment); 1.2.1.3 State tax payments (automatically scheduled and disbursed).	1. USDO. USAID processes most foreign currency payment via USDO. 1.1 update payment records 1.2 external payroll used by majority of missions 2. automate deposit / collection reconciliation between USDO and USAID mission. Record appropriate accounting transactions for USAID mission collections

FROM	TO	Interface Definition	Clarifications
		1.2.1.4 payroll advances 1.2.1.5 obligation / disbursement information 1.2.1.6 change in leave balances 2 automated cashiering system (ACS) 2.1 accounting transactions for USAID 2.2 mission collections	
FM	Treasury Department	1. Global Online Accounting Link System (GOALS) reports: 1.1 monthly statement of transactions (SF 224), 1.2 quarterly report of budget execution (SF 133), 1.3 year-end closing statement (FMS 2108), 1.4 Federal Agencies Centralized Trial Balance I (FACTS I - proprietary account trial balance), 1.5 Federal Agencies Centralized Trial Balance II (FACTS II - budgetary account trial balance), 1.6 Treasury Report on Receivables (TROR), 1.7 reports on guaranteed loans (SF 220-8), 1.8 accounts receivable due from the public (Schedule 9). 2. ECS System electronic transmission of SF 1166 data (payment transactions and payment schedules) 3. Treasury / IRS USAID 1099 data; vendor's 1099 data	1. GOALS is a telecommunication interface used to transmit and retrieve data between U.S. Government agencies 2. USAID processes most dollar payment via ECS. Needs to format schedules and payments to meet ECS constraints (e.g., 60 payments per schedule, 200 schedules per ALC per daytime day wires, and ACH/ Check payments on separate schedules) 3. support Treasury and IRS Requirements. Store TIN and payee types and other IRS required data; calculate 1099 amounts from payment schedule data 4. Treasury Payment Advice Internet Deliver (PAID) provides payment information to vendors using PAID (uses secure socket layer, encryption, TIN, password). extract payment data and send to PAID 5. Intra-governmental Transfer System (IGOTS) is a future system for payments made to other Agencies and / or between USAID accounting locations based on credit card providers / standard exchange network 6. ICASS

FROM	TO	Interface Definition	Clarifications
		4. PAID vendor information and payment status 5. IGOTS payment schedule 6. ICASS	
Treasury Department	FM	1. GOALS 1.1 updated payment status (from "disbursement in transit" to "disbursed") 2. On-line Payment and Collection (OPAC)/Electronic Data Interchange Payment and Collection (EDIPAC) payment and collection (including credits) transactions 3. Prime Pay (Kansas City Financial Center) expense transactions; disbursement transactions (recurring payments from agency bank accounts) 4. Treasury Offset Program System (TOPS) 4.1 data related to collections on delinquent accounts, which Treasury collects on USAID behalf through government-wide offset. 4.2 data related to vendors when disbursements by USAID have been reduced by Treasury to offset vendor outstanding debt with other Federal agencies. 5. CASHLINK Treasury record collections data 6. ICASS bill (from State Department,	1. GOALS is a telecommunication interface used to transmit and retrieve data between U.S. Government agencies. Disbursing office (via GOALS) updates payment record status and processes the payment schedule accomplishment data 2. OPAC/ EDIPAC systems perform payments made to other agencies and/or between USAID accounting locations 3. USAID intends to use this system for U.S. "preferred vendors" 4. TOPS is a centralized debt collection program to assist federal agencies for writeoffs and reporting purposes. Debt Collection Improvement Act, 1996, (DCIA) requires all debt over 180 days delinquent must be transferred to Treasury Department. 4.1 update accounts receivable balances 4.2 store vendor's reduced payment information for payments offset by Treasury on behalf of other agencies (response to vendor inquiries) 5. CASHLINK is used to manage and monitor collection of government revenues and to report balances to Federal agencies. Reconciles Treasury record collections to FMS recorded collections. Generates exception reports. (Using CASHLINK,

FROM	TO	Interface Definition	Clarifications
		via Treasury OPAC)	an agency can download account balances, average daily balances, wire transfers, and detail account transactions) 6. Notification of the receipt a bill of a given amount for services that the agency has used under an ICASS agreement.
FM	M&I Loan Management System (Riggs Bank)	M&I Loan Management System loan obligation data; electronic funds transfer for advances to cover anticipated defaults on guaranteed loans.	Riggs Bank is currently the USAID's loan servicing contractor. FM responds to USAID's loan servicing contractor request for advances. Sends electronic funds transfer
M&I Loan Management System (Riggs Bank)	FM	M&I Loan Management System 1. interface files contain standard credit reform budgetary and proprietary transactions (collections, disbursements, actual claims, year-end accruals) 2. daily collections interface file (principal, interest & fees processed: direct loans, guaranteed loans, loan portfolio guarantees) 3. interface files containing standard credit reform transactions (lender disbursements on guaranteed loans and loan portfolio guarantees) 4. monthly manual request for advances to cover anticipated defaults on guaranteed loans. 5. periodic interface file containing standard budgetary and proprietary transactions related to advances 6. interface file containing standard transactions related to actual write-off or other adjustments 7. quarterly interface file containing transactions for accrual of interest and fees owed on direct and guaranteed loans and loan portfolio	1. update general ledger and funds management accounts 2. Riggs Bank acting as paying and transfer agent (PTA) for USAID facilitates collection process and also monitors USAID collections via U.S. Treasury CASHLINK system. Update general ledger and funds management accounts 3. Riggs Bank acting as PTA for USAID facilitates disbursements process. Update general ledger memorandum accounts and funds management limitations accounts 4. Riggs Bank estimates anticipated defaults on guaranteed loans. Process advances requests and generate electronic funds transfer 5. Riggs Bank estimates anticipated defaults on guaranteed loans. Liquidate the advances and update general ledger and funds management accounts 6. USAID's actions forwarded from Riggs Bank. Update general ledger and funds management accounts 7. USAID's actions forwarded from Riggs Bank. Update program,

FROM	TO	Interface Definition	Clarifications
		guarantees. interface file containing transactions reversing these accruals as of the September 30 year-end close (beginning of new fiscal year)	financing, and liquidating accounts for general ledger (including income, expense, liabilities, revenue, and status of fund accounts) and program, financing, and liquidating accounts for funds management
FM	Vendors	USAID web site vendor information and payment status	provide payment information to vendors. extract payment data and send to web site server
Vendors	FM	1. Electronic Data Interchange (EDI) vendor invoices (electronic) 2. USAID document imaging system vendor invoices (paper)	1. EDI is an intended implementation. requires invoice number of 30 characters. includes: document matching / payee edits; letter to vendor for incorrect purchase order/obligation number 2. imaging system is an intended implementation to generate electronic copies of documents received via U.S. Mail. includes: document matching / payee edits; letter to vendor for incorrect purchase order / obligation number
Human Resources			
Employee	HR	1. request 2. bids 3. employee input for evaluation 4. time and attendance 5. training request (SF 182) 6. mentor request 7. work objectives	1. employee request for status information, change, or use of allowed service. For living quarters allowance, use form SF 1190 to justify living quarters' expenses that exceeds the ceiling amount. 2. the bid submitted by a USAID employee in response to a vacancy announcement: an application for the position. 3. information from the employee related to the employee's attainment

FROM	TO	Interface Definition	Clarifications
			or non-attainment of a work objective.
			4. time and attendance record for each employee. Data is entered in the American Electronic Time and Attendance System (AETA) and transmitted to USAID/W via Cable Switch for employees in missions. This information is reported on an exception basis: only charges different from the employee's default work schedule need be entered. The missions are responsible for validating and correcting any errors in their time and attendance data.

5. (none)

6. an expressed desire for formal and/or informal training by a mentor or counselor.

7. (none) |
| HR | Employee | 1. benefit status

2. approval notice

3. placement information

4. midcycle evaluation

5. W2 forms

6. counseling session

7. learning event

8. assign employee (assignment: SF50)

9. waiver from policy or regulation

10. promotion nomination | 1. status of benefits currently being provided to an employee.

2. notification to an employee that a request has been approved.

3. includes:

3.1 assignment

3.2 vacancy announcement

(an announcement to the employees in the USAID workforce of a position vacancy.)

4. corporate assessment of performance during the course of the rating cycle.

5. (none)

6. The occurrence of a meeting between an employee and another employee or person to discuss the employee's career plan, complaint, disciplinary event, etc. The purpose |

FROM	TO	Interface Definition	Clarifications
			of the meeting is to advise, guide, and to create a plan of action 7. (none) 8. (none) 9. (none) 10. (none)
HR	Job Applicant	advertisement	The advertisement of a job opportunity to the general public.
Job Applicant	HR	application	Application received in response to an advertisement.
State Department	HR	1. FS standards 2. FS pay scales	1. classification standards for foreign service employees. 2. the Department of State provides the pay ranges for the foreign service.
HR	Treasury Department	1. salary and allotment information 2. tax information 3. bond information 4. IRS 4.1 quarterly 941 4.2 W2 information	1. information to produce payments to employees for salaries and allotments May result in printed checks or electronic deposits. 2. information to pay Federal taxes and state taxes 3. information to purchase saving bonds for employee 4.1. (none) 4.2. employee W2 forms sent to IRS.
HR	U.S. Government Agencies (USGA)	1. payment information 2.NFC thrift savings plan information	Agencies of the U.S. Government other than USAID. 1. (none) 2. Department of Agriculture National Finance Center (NFC) Thrift Savings Board
HR	Social Security	W2 payment information	SSA

FROM	TO	Interface Definition	Clarifications
	Administration (SSA)		employee's W2 form sent to Social Security Administration.
HR	State Government	state tax W2 information	employee's W2 forms sent to government taxing agency of employee's home state.
OPM	HR	1. CS standards 2. pay and benefits information	From the Office of Personnel Management (OPM) 1. classification standards for the civil service employees. 2. OPM provides the Government pay rates, names and deductions to be applied for health insurance, life insurance, and retirement.
HR	OPM	1. periodic OPM reports 2 retirement and insurance payments	To the Office of Personnel Management (OPM) 1. quarterly, yearly and other periodic reports required by OPM. 2. the Retirement and Insurance Transfer System (RITS) is used to send the retirement, health and life insurance payment information to OPM, which handles payments to these providers.
HR	EEOC	diversity reports	Reports on the agency's compliance with EEO/Affirmative Action legal requirements, including data comparisons against plans, and listing objectives for the next work year.
EEOC	HR	eeoc requirements	Requirements for determining those agency objectives that will achieve workforce diversity and ensure equal opportunity in all aspects of personnel management.
HR	U.S.Disbursing Office	FSN payroll information	The USDO is the agency used to pay FSNs in foreign currency. This information is used to produce payments for FSN employees.

FROM	TO	Interface Definition	Clarifications
Knowledge Management			
KM	U.S. Government Agencies (USGA)	information for permanent government archive – A subset of agency historical records provided to the National Archives for storage at designated USG repositories.	Designated USG Repositories Any U.S. Government facility of the National Archives designated to accept and retain pertinent USAID permanent records.
External Operations: Partner	KM	partner's development knowledge – The development knowledge originated or utilized by the partner in planning and carrying out USAID program operations. This knowledge may include information contained in proposals the partner makes to USAID.	An organization or customer representative with whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: private voluntary organizations, indigenous and other international nongovernment organizations, universities, other USG agencies, UN and other multilateral organizations, professional and business associations, private businesses, and host country governments at all levels.
Program Operations			
Administration	Ops	Administration mandates	The overall foreign policy and international assistance policy of the Executive Branch administration. Instructions from the Executive Branch regarding priorities for agency programs.
Congress	Ops	Congressional mandates	The overall intent and policy implications of foreign assistance legislation enacted by Congress. Specific spending targets or limits imposed on particular aspects of the agency's program through Congressional appropriations.
Ops	Congress	Congressional Presentation	USAID's formal request to Congress for resources. The CP provides detailed justification of the rationale for proposed activities in each country and program world-wide. The CP also summarizes the evaluation of program results at a regional and global level, by program area.

FROM	TO	Interface Definition	Clarifications
Ops	External Operations: Partner	1. direction 2. subagreement	1. high level direction provided by USAID to partners carrying out development activities under USAID awards. 2. an agreement between USAID and a partner such as non-governmental organization (NGO) to carry out some or all of the activities required to achieve the objective defined in the SO agreement.
Ops	External Operations: host country government	1. local needs and constraints 2. negotiation outcome	1. The host country government's perspective of the development and transition issues in the country, and the local political, economic, and social constraints on using assitance funding and achieving results. 2. Results of discussions between a USAID operating unit and the government of a host country concerning the means, time frame, and tactics for achieving a strategic objective.
External Operations: Partner	Ops	1. partner work plans 2. deliveries 3. contract review 4. partner plans and capabilities	1. the partner's detailed management plans for carrying out its portion of the strategic objective. 2. any items from a partner that USAID requires to manage the activities being performed. Deliverables could include progress reports, status of results achieved to date, technical reports, and in some case goods and services. 3. the review of a partner's performance in carrying out a contract or grant. 4. the strategic plans and ongoing activities of USAID partners in the geographical area of interest, as well as the capacities, resources, and skills that the partners can bring to bear in USAID programs.

FROM	TO	Interface Definition	Clarifications
External Operations: Customer	Ops	customer needs	The needs, preferences, or reactions of customers regarding an existing or planned activity, result, or strategic objective. Generally elicited through customer surveys.
Business Support Services			
BSS	GSA	SF-82: 1. fuel consumption 2. maintenance costs 3. indirect costs	1. General Services Administration (GSA) a report to GSA stating annual cost of USAID motor vehicle fleet. (property management)
BSS	State Department	1. RPMS input 2. embassy space assignment 3. collocation waiver	1. database update to the Real Property Management System (RPMS). 2. if office space is available on the embassy compound, this information is updated in to REMS. 3. a collocation waiver is submitted only if not on existing USG facilities. (property management)
State Department	BSS	1. approval/disapproval 2. approved housing profile	1. approval or disapproval of collocation waiver (property management)
Employee	BSS	lqa request	SF-1190 form is filled out by the employee to justify living quarters allowamce (lqa)that exceeds the ceiling amount. (property management)

FROM	TO	Interface Definition	Clarifications
U.S. Despatch Agent	BSS	custody property	Dispatch agent is the office or person responsible for forwarding all U.S. government property to overseas personnel. Custody property is USAID accountable property, including non-expendable residential furniture and equipment and all other personal property items costing $100 or more exclusive of shipping, packing and storage costs as well as unused warehouse or stockroom inventory. (property management)
Vendor	BSS	custody property	USAID may receive delivery of property directly from vendors as well as through Despatch Agents. See definition under "US Despach Agent". (property management)
BSS	Inter-Agency Housing Board (IAHB)	1. housing profile 2. appeal	IAHB 1. housing profiles are determined by the job level of the employee. 2. Employee request for an exception to the Department of State's worldwide housing standards because of unusual circumstances (property management)
IAHB	BSS	1. approved housing profile 2. reassignment	IAHB 1. The housing profile approved by USAID and the IAHB for an operating unit in a host country. 2. An alternate residential property assignment granted on acceptance of an employee's appeal. (property management)
External Operations Partner	BSS	non-custody property accounting data	property held by partners, program property to be tracked until its useful life is depleted or until contract termination.

FROM	TO	Interface Definition	Clarifications
			(property management)
BSS	State Department	transportation arrangements	Description of property to be shipped, destination, dates, and other information pertinent to the arrangement of transportation. (travel and transportation)
State Department	BSS	transportation status	Status of shipment of personal goods via Despatch Agents. (travel and transportation)
BSS	Employee	travel authorization	Information for performing official travel and incurring related expenses. (travel and transportation)
Employee	BSS	1. planned TDY travel 2. travel authorization 3. travel voucher 4. personal belongings request	1. An employee's plan for travel, providing the information needed to document a requested travel authorization. 2. See "BSS to Employee" 3. The employee's record of actual expenses for the travel and lodging. 4. An employee's request to the agency regarding transportation, storage, and retrieval from storage of personal belongings. (travel and transportation)
Personal services contractor	BSS	Travel authorization	See "BSS to Employee" (travel and transportation)
General Counsel			
Department of Justice	GC	Legal questions and clarifications (two-way inteterface)	
Federal Judiciary	GC	Cases and verdicts	

Figure B-2. Business Areas External Entities Interfaces

Business Areas

A&A Acquisition and Assistance
BSS Business Support Services
Bud Budget
FM Financial Management
HR Human Resources
KM Knowledge Management
Ops Program Operations

External entities and labels:

- Host Country Government — Ops Bud, Ops Bud
- US Congress — Ops Bud, A&A Bud Ops
- Vendor — A&A FM, A&A FM BSS
- Partner — Ops, KM Ops BSS
- State Department — Bud FM BSS, Bud FM HR BSS
- US Government Agencies (DHHS, GSA, IAHB, CPD (NIH), OPM, SBA, SSA) — A&A Bud FM HR KM BSS, Bud FM HR BSS
- M&I Loan Management System (Riggs Bank) — FM, FM
- Treasury Department — FM HR, FM
- Financial Institutions — FM, FM
- OMB — Bud, A&A Bud
- Employee — HR BSS, HR BSS
- Job Applicant — HR, HR
- Customer — Ops
- Administration — Ops
- State Government — HR
- US Despatch Agent — BSS
- Personal Services Contractor — BSS

Note: The labels on the arrows indicate which business areas interface with the external entities.

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B.3   Local Operating Unit Interfaces

The USAID business areas are distributed across organizational boundaries. Both USAID/W headquarters and USAID operating units located in the field (i.e., missions) perform some or all of most business process. Because of the geographic distribution of USAID, the interfaces between agency sites, and between those sites and external entities, are important to the architecture.

Figure B-3 depicts some of the more critical flows from the perspective of program operations and administration at a local operating unit, whether in the field or in Washington. The data flows are identified in the dictionaries for the agency business areas in Appendixes C through I. Most of the flows depicted are interfaces identified in Table B-1 and Table B-2; some, however, are internal to a business area. In a few specific cases, an additional flow not included in the data dictionary has been introduced to show relevant information at a summary level; these flows are italicized. Figure B-3 covers only working information, not development knowledge.

Three key internal agency groupings are shown in Figure B-3:

1. Operating Unit Program and Administrative Processes. These include all the program operations processes except for those that address the guidance and evaluation of the overall agency program. They also include the portions of budgeting and acquisition and assistance that are closely tied to program operations, such as budget formulation and contract performance monitoring. They include business support services local to the operating unit (property management, travel) and certain human resources processes for the local Foreign Service National (FSN) workforce.

2. Central Agency and Bureau Planning and Management Processes. These include the guidance and evaluation of agency and bureau programs, as well as most of the human resources processes for the CS and FS workforce. They also include some central aspects of business support services and central program support functions such as those of the General Counsel's office. These are located in USAID/W only.

3. Financial and Mixed Financial Services. These include all of the agency's financial management processes, most of the processes supporting acquisition and assistance, and the financial integration aspects of the other business areas. There is currently no standard agency pattern for the distribution of these services. They may be colocated with the operating unit program and administrative processes in the field, regionally centralized at an operating unit that serves the needs of missions in several countries, and located in USAID/W. These services may be thought of as colocated with the controller and contracting officer.

Processes largely performed in Washington or the missions are indicated within dashed lines on the diagrams provided in the business area Appendices C through I.

USAID Local Operating Unit Interfaces
(Agency Working Information)

State Department
(Embassy)

- mpp →
- icass mou →
- icass invoice →
- ← mpp input
- icass workload requirements →
- *skill requirement (fsn)* →
- ← embassy space assignment

Other USG Agencies

- *interagency agreement* →

Other Donors

- ← coordination data

Customer

- customer needs →

Host Country Government

- country needs and constraints →
- trust fund agreement →
- ← trust fund reports →
- ← negotiation outcome

Partner
(grantee, contractor, or vendor)

- partner plans and capabilities →
- partner work plans →
- deliveries →
- *partner invoice* →
- ← subagreement
- ← direction

Disbursing Agent
(US Treasury, State Department disbursing offices, and commercial banks)

Operating Unit Program and Administrative Processes
(at missions or USAID/W operating units)

- ← agency strategic plan
- ← annual performance plan
- ← global and regional plans
- ← policy, budget guidance
- ← parameters
- ← resource constraints
- ← review/approval
- ← assignment cable
- ou strategic plan →
- staffing plan →
- skill requirement →
- ← results review
- resource request →
- upcoming obligation →

Central Agency and Bureau Planning and Management Processes
(USAID/W)

oyb distribution data

- ← acs
- ← financial performance status
- ← unused prior year budget authority
- ← award
- ← field support award
- ← icass financial data
- so activity structure →
- program/oe needs →
- field support plan →
- input to request →
- procurement document →
- trust fund reports →
- program results →
- contractor evaluation →
- payroll-fm data →

Financial and Mixed Financial Services
(may be at the mission, at a regional center, or in USAID/W)

icass bill (opac)

payment

award

icass reimbursement (services provided by or provided to USAID)

disbursement

statement of transactions

Figure B-3. USAID Local Operating Unit Interfaces

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Appendix C. Program Operations

Appendix C shows the architecture diagrams and accompanying data dictionary for the Program Operations business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Each diagram in this list depicts two or more lower level processes and the data flows between them, as well as the data flows between the processes and external entities. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8400. Program Operations (Decomposition)

```
                              ┌──────────────────┐
                              │ Program Operations│
                              └──────────────────┘
        ┌──────────────┬──────────────┴───────────────┬──────────────┐
┌───────────────┐ ┌───────────────┐ ┌────────────────┐ ┌──────────────────┐
│Plan Operating │ │Achieve Operating│ │Evaluate Operating│ │Guide Agency      │
│Unit Results   │ │Unit Results   │ │Unit Results    │ │Programs          │
└───────────────┘ └───────────────┘ └────────────────┘ └──────────────────┘
```

- Plan Operating Unit Results
  - Formulate Policy
  - Articulate Desired Results
  - Define Approach
  - Record Strategic Plan
  - Obtain Approval

- Achieve Operating Unit Results
  - Negotiate SO Agreement
  - Develop Activity Plans
  - Monitor Activity Implementation

- Evaluate Operating Unit Results
  - Evaluate Results
  - Evaluate Country Performance
  - Validate Approach
  - Prepare Impact Analysis
  - Identify Lessons Learned
  - Review Results and Request Resources

- Guide Agency Programs
  - Formulate Agency Policy
  - Articulate Parameters
  - Evaluate Agency Program Results
  - Review/Approve Regional/Local Plans

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┌──────────────────────────────────────┐
│ Program Operations (Decomposition)    │
│            SA/2001                    │
│     Fri Feb 11, 2000  08:39           │
│──────────── Comment ──────────────────│
│       Program Operations              │
│────────── Diagram Number ─────────────│
│              8400                     │
└──────────────────────────────────────┘
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Diagram 8420. Achieve Operating Unit Results

unused prior year budget authority

Financial Management

ou strategic plan

acs

so activity structure

customer service plan

resource constraints

Acquisition and Assistance

program/oe needs

program results

operational planning information

input to request

award

1.2.1 Develop Activity Plans (Project Planning)

results package

1.2.3 Monitor Activity Implementation (Project Management)

financial performance status

activity plan

budget execution reports

revisions

budgetary event notice

USAID Management

review/approval

skill requirements

Human Resources

direction

1.2.2 Negotiate SO Agreement

so agreement

upcoming obligation

Budget

1.2. Achieve Operating Unit Results
(OMT Data Flow)
SA/2001
Tue Feb 15, 2000 16:12
─────Comment─────
Program Operations
─────Diagram Numbe─────
8420

negotiation outcome

partner work plans

deliveries

Host Country Government

subagreement

Partner

C-3

Diagram 8430. Evaluate Operating Unit Results

Customer

customer needs

customer needs

program results

ou strategic plan

1.3.1 Evaluate Results

1.3.2 Evaluate Country Performance

country trend data

results effectiveness

country performance

Knowledge Management

results evaluation

Partner

contract review

approach effectiveness

causal relationship

1.3.4 Prepare Impact Analysis

country trend data

1.3.3 Validate Approach

Acquisition and Assistance

contractor evaluation

Financial Management

financial performance status

Budget

budget guidance

resource request

resource constraints

1.3.5 Identify Lessons Learned

lessons learned

1.3. Evaluate Operating Unit Results (OMT Data Flow)
SA/2001
Fri Feb 11, 2000 08:32
───── Comment ─────
Program Operations
──── Diagram Number ────
8430

1.3.6 Review Results and Request Resources

results review

1.4.3 Evaluate Agency Program Results

Note: the combination of the data flows "results review" and "resource request" constitutes the R4.

C-4

Diagram 8440. Guide Agency Program

Knowledge Management

agency development knowledge *

public domain development knowledge

agency program performance

agency development knowledge *

Budget

resource constraints

annual performance plan

agency strategic plan

global and regional plans

1.4.1 Formulate Agency Policy

accountability report

1.4.3 Evaluate Agency Program Results

policy guidance parameters

1.1.1 Articulate Desired Results

administration policy

mpp

foreign assistance legislation

1.4.4 Review/Approve Regional/Local Plans

Department of State

Administration

Congress

congressional presentation

review/approval

directives

results review

ou strategic plan

1.4.2 Articulate Parameters

earmarks

1.3 .6 Review Results and Request Resources

1.1.3 Record Strategic Plan

1.4. Guide Agency Program
(OMT Data Flow)
SA/2001
Wed Feb 23, 2000 10:27
—————Comment—————
Program Operations
————Diagram Number————
8440

* agency development knowledge = program results + agency program performance + results evaluation (approach effectiveness + causal relationship + country performance + results effectiveness) + country trend data + lessons learned + operational planning information + approaches

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Diagram 8410. Plan Operating Unit Results

1.4.1 Formulate Agency Policy

agency strategic plan

annual performance plan

global and regional plans

parameters

1.4.2 Articulate Parameters

1.4.4 Review/Approve Regional/Local Plans

review/approval

country trend data

lessons learned

Knowledge Management

ou strategic plan

policy guidance

approaches

mpp

mpp input

local needs and constraints

1.1.1 Articulate Desired Results

strategic objective

results framework

1.1.3 Record Strategic Plan

coordination data

Department of State

Host Country Government

Other Donors

identified approaches

customer service plan

customer needs

1.1.2 Define Approach

schedules

estimated resources

customer service plan

1.1. Plan Operating Unit Results (OMT Data Flow)
SA/2001
Tue Feb 15, 2000 16:05
—Comment—
Program Operations
—Diagram Number—
8410

Customer

Partner

partner plans and capabilities

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Diagram 8401. Program Operations Business Area

Customer — customer needs

Partner — partner plans and capabilities / partner work plans / deliveries / contract review

subagreement / direction

Host Country Government — negotiation outcome / local needs and constraints

USAID Management — review/approval

Congress — congressional mandates / congressional presentation / coordination data

Other Donors

Administration — administration mandates

Department of State — mpp / mpp input

1 Program Operations

Budget — budget guidance / resource constraints / budget execution information **

Human Resources — resource request / upcoming obligation / skill requirements

Knowledge Mangement — program results / agency development knowledge *

Acquisition and Assistance — resource constraints / program/oe needs / input to request / contractor evaluation / program results / award

Financial Management — so activity structure / acs / financial performance status / unused prior year budget authority

Program Operations Business Area
(OMT Data Flow)
SA/2001
Wed Feb 23, 2000 10:22
————Comment————
Program Operations
——Diagram Number——
8401

* agency development knowledge = program results + agency program performance + results evaluation
(approach effectiveness + causal relationship + country performance + results effectiveness) + country trend data +
lessons learned + operational planning information + approaches

** budget execution information = budget execution reports + budgetary event notice

Diagram 8402. Program Operations Processes

* agency development knowledge = program results + agency program performance + results evaluation (approach effectiveness + causal relationship + country performance + results effectiveness) + country trend data + lessons learned + operational planning information + approaches

** budget execution information = budget execution reports + budgetary event notice

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Data Dictionary

Name	Description
acs	Accounting Classification Structure defined within FM in accordance with JFMIP requirements. Knowledge of the ACS is required for setting up the SO activity structure.
activity plan	Documentation of the management plan for the activities supporting a results package. "Activity" includes any action used to advance the achievement of a given result or objective (directly by USAID staff, through awards, or by transfer of funds).
administration mandates	administration policy + directives
administration policy	The overall foreign policy and international assistance policy of the Executive Branch administration.
agency development knowledge *	program results + agency program performance + results evaluation (approach effectiveness + causal relationship + country performance + results effectiveness) + country trend data + lessons learned + operational planning information + approaches
agency goals	Long-term development results in specific areas to which USAID programs contribute and which have been identified as specific goals by the Agency.
agency planning guidance	agency strategic plan + annual performance plan + policy guidance + prameters + global and regional plans
agency program performance	The effectiveness of USAID programs in meeting international development, transition, and humanitarian needs.
agency strategic plan	The Agency's plan for providing development assistance. The strategic plan articulates the Agency's mission, goals, objectives, and program approaches.
annual performance plan	The Agency's Annual Performance Plan (APP), describing the Agency's near term approach to meeting US foreign policy, Congressional, and Administration priorities.
approach effectiveness	Descriptions of strategic approaches that have been used to achieve results, and records of experience using them. Approaches include ways of attacking categories of development problems

Name	Description
	and experience with different instruments (direct grants, loans, contracts, etc.). Types of experience recorded includes the effectiveness of particular tools and tactics applied to different approaches.
approved ou strategic plan	An OU strategic plan that has been approved by USAID/W and is ready for implementation.
award	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to $100,000 value. (2) Large Purchases: -- (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). -- (b) accomplished through assistance awards, both grants and cooperative agreements. -- (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.
budget execution information **	Budget execution reports + budgetary event notice: Budget execution reports: summary and detailed information for Agency technical officers, program managers, and operating unit administrators of Agency spending against OYB budget levels. The information includes reports of pipeline (cumulative obligations less expenditures) and mortgage (planned costs less cumulative obligations) for purposes of program management. Budgetary event notice: A notice to the cognizant program officials that a budgetary control or other limit has been or will shortly be reached, or that Congress has imposed a hold affecting upcoming obligations.
budget execution reports	Summary and detailed information for Agency technical officers, program managers, and operating unit administrators of Agency spending against OYB budget levels. The information includes reports of pipeline (cumulative obligations less expenditures) and mortgage (planned costs less cumulative obligations) for purposes of program management.
budget guidance	Framework for setting the Agency budget; consists of (1) policies, (2) budget control amounts, (3) budget formulation schedule with due dates.

Name	Description
budgetary event notice	A notice to the cognizant program officials that a budgetary control or other limit has been or will shortly be reached, or that Congress has imposed a hold affecting upcoming obligations.
causal relationship	A plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results.
congressional mandates	foreign assistance legislation + earmarks
congressional presentation	USAID's formal request to Congress for resources. The CP provides detailed justification of the rationale for proposed activities in each country and program world-wide. The CP also summarizes the evaluation of program results at a regional and global level, by program area.
contract review	The review of a partner's performance in carrying out a contract or grant.
contractor evaluation	A Cognizant Technical Officer's (CTO's) evaluation of the performance of the contractor in implementing an Agency award.
coordination data	Information from/to other assistance donors in the region regarding plans and results region and program area.
country performance	Changes in the country's social, political, economic, educational, or environmental climate, and any other factors relevant to assessment of the USAID program in the country.
country trend data	Time series data for parameters of interest to the sustainable development community for a particular country.
customer needs	The needs, preferences, or reactions of customers regarding an existing or planned activity, result, or strategic objective. Generally elicited through customer surveys.
customer service plan	A document which presents the operating unit's vision for including customers and partners to achieve its objectives. This document also articulates the actions necessary to engage participation of its customers and partners in planning, implementation, and evaluation of USAID programs and objectives.

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Program Operations – Data Flow Definitions

Name	Description
deliveries	Any items from a partner that USAID requires to manage the activities being performed. Deliverables include: - progress reports - technical reports - results (indicator data and qualitative results achieved) - invoices - end use property report - in some cases, goods and services supplied directly to USAID
direction	High level direction provided by USAID to partners carrying out development activities under USAID awards. Consists of a statement of work and/or a statement of results to be achieved. Also identifies required reporting deliveries and schedules.
directives	Instructions from the Executive Branch regarding priorities for Agency programs.
earmarks	Specific spending targets or limits imposed on particular aspects of the agency's program through Congressional appropriations.
emphasis areas	A grouping of activities for analytical, reporting, and budgetary control purposes. This includes Congressional Earmarks and Directives.
estimated resources	The estimated resource requirements by year over the planning period necessary to achieve the strategic objective.
financial performance status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, commited, obligated, and expended reflecting all transactions at all accounting classification system (ACS) levels. This data may be for the current year or any prior year, as requested.
foreign assistance legislation	The overall intent and policy implications of foreign assistance legislation enacted by Congress.
global and regional plans	Strategic plans for major segments of the Agency program, including central bureau world-wide plans by program area (e.g., environment) and regional bureau program plans and goals.
identified approaches	The tools and techniques that have been identified as appropriate to achieving the strategic

Name	Description
	objective.
input to request	Information needed to formulate a request for acquisition or assistance.
lessons learned	The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them.
local needs and constraints	The host country government's perspective of the development and transition issues in the country, and the local political, economic, and social constraints on using assitance funding and achieving results.
mpp	Department of State's Mission Performance Plan (MPP) for the host country.
mpp input	Input to the Embassy's Mission Performance Plan (MPP); in particular, the OU's planned results and indicator data.
negotiation outcome	Results of discussions between a USAID operating unit and the government of a host country concerning the means, time frame, and tactics for achieving a strategic objective.
ou strategic plan	An OU Strategic Plan (refer to data store definition).
parameters	A given framework or condition within which decision making takes place. The term "parameters" is used to denote the context of US foreign assistance determined outside USAID and which Agency OUs cannot alter. Examples are Congressional earmarks, directives from the executive branch, emphasis areas, and political constraints.
partner plans and capabilities	The strategic plans and ongoing activities of USAID partners in the geographical area of interest, as well as the capacities, resources, and skills that the partners can bring to bear in USAID programs.
partner work plans	The partner's detailed management plans for carrying out its portion of the strategic objective.
policy guidance	Agency priorities for the current planning year, articulated through PPC. Policy guidance is used

Name	Description
	by the OUs to select strategic objectives. The OUs select as strategic objectives goals that both meet local or regional needs and that support agency-wide goals expressed in the policy guidance.
program results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved.
program/oe needs	Program needs are goods and services necessary for achieving the strategic objective. The information is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (oe) needs are required to meet administrative or facility requirements in order to support the programs being carried out by the operating unit.
public domain development knowledge	Any knowledge created and maintained by a source external to the Agency, in the public domain, and pertinent to the Agency's ability to carry out its mission. Examples of public domain knowledge sources include the World Bank, the United Nations, PVOs and NGOs, and assistance agencies of other countries. An example of a public domain knowledge system is CARE Canada's "Information to Knowledge" web-based repository of best practices in disaster relief.
resource constraints	The actual amount of resources planned to be available to be obligated for a unit of work.
resource request	A forecast of labor, goods, services, etc., by a time period (month, quarter, or year), required to carry out a given unit of work over its expected lifetime. Resource requests are expressed as estimated financial expenditures for the purpose of budgeting. They are collected from Operating Units as part of the annual Results Review and Resource Request (R4) process.
results effectiveness	The effectiveness of the achieved results in meeting program goals.
results framework	Those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. The results framework establishes an organizational basis for measuring, analyzing, and reporting results of the operating unit. It typically is presented in both narrative and graphical representation.
results package	Documentation of the people, funding, authorities, activities, and associated documentation

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Name	Description
	required to achieved a specified (collection of) results within an established time frame.
results review	The results tracking and evaluation portion of the R4.
review/approval	The reviewed version of, or review comments on, a document submitted to a higher authority for approval, and the corresponding notice of approval. Failure to obtain approval may result in iteration until approval is obtained, or in cancellation of the document and/or its related activity.
revisions	Changes to activity plans, results packages, and subordinate implementation plans. These revisions result from ongoing analyses and validations of Agency programs, approaches, and results, as well as from changes in the Agency's budget picture.
schedules	The long-range (generally 5-8 year) schedules over which the strategic objectives are to be achieved, against which resource requirements are estimated.
skill requirements	Skills and knowledge (human resources) required to carry out activities in support of a Strategic Objective. Used in the Human Resources Workforce Planning business process to help direct human resources to areas where they are needed and to plan the Agency's acquisition of any skills and knowledge it is short of.
so activity structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.
so agreement	A formal agreement that obligates funds between USAID and the host government or other parties, setting forth a mutually agreed upon understanding of the time frame, results expected to be achieved, means of measuring those results, resources, responsibilities, and contributions of participating entities for achieving a clearly defined strategic objective. Such an agreement between USAID and the host government may allow for third parties (e.g., NGOs) to enter into sub-agreements with either USAID or the host government or both to carry out some or all of the activities required to achieve the objective.
strategic objective	The most ambitious result (intended measurable change) that a USAID operational unit, along with its partners, can materially affect and for which it is willing to beheld responsible. The time

Name	Description
	frame is typically 5-8 years for sustainable development programs, but may be shorter for programs operating under transitional or uncertain circumstances.
subagreement	An agreement between USAID and a partner such as an NGO to carry out some or all of the activities required to achieve the objective defined in the SO agreement (associated with subcommitments and subobligations, which are commitments and obligations made under an umbrella SO agreement).
unused prior year budget authority	Authority to expend funds from a prior fiscal year during the current fiscal year, provided those funds are qualified for carryover.
upcoming obligation	Notice of a planned upcoming obligation for purposes of informing Congress via Congressional or Technical notification, and notice of any of the changes in planned activities or spending level that would trigger a Congressional or Technical notification.

Name	Description
accountability report	USAID's annual collection of statutory financial and performance report, including reports of agency results requird by GPRA.
customer service plan	A document which presents the operating unit's vision for including customers and partners to achieve its objectives. This document also articulates the actions necessary to engage participation of its customers and partners in planning, implementation, and evaluation of USAID programs and objectives.
operational planning information	A repository for knowledge related to tactical, operational planning (establishing teams, defining work breakdown structures, developing procurement plans, establishing performance monitoring techniques, etc.).
ou strategic plan	The Strategic Plan for an Operating Unit (OU). The framework which an OU uses to articulate the organization's priorities, to manage for results, and to tie the organization's results to the customer/beneficiary. Includes the strategic objectives and plans for deploying the resource requirements for accomplishing them.
program results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved.
results evaluation	approach effectiveness + results effectiveness + country performance + causal relationship

Program Operations – Process/Actor Definitions

Name	Description
Achieve Operating Unit Results	Create operational plans; that is, the detailed activity plans for the operating unit. Carry out the planned activities and monitor the progress of partners, vendors, and host country agencies.
Acquisition and Assistance	The USAID business area through which the Agency purchases goods and services and administers contracts, grants, and procurement policies.
Administration	The President's administration (Executive Branch).
Articulate Desired Results	Drawing on the Agency's knowledge base for the geographic area and the Agency's global and regional goals, identify customers and determine their needs. Define strategic objectives to meet these needs, and derive a framework of interdependent measurable results that will indicate progress toward the objective.
Articulate Parameters	Interpret and communicate the fixed parameters within which regional and local strategic planning and must take place. Parameters are chiefly determined by Congressional earmarks, directives from the executive branch, emphasis areas, and political constraints.
Budget	The USAID business area through which the Agency plans and allocates its financial resources, formulates and justifies a budget for submission to the Office of Management and Budget (OMB) and Congress, and distributes the appropriated budget to operating units and programs for execution.
Congress	United States legislature.
Customer	An individual or organization who receives USAID services or products, benefits from USAID programs, or who is affected by USAID actions. The ultimate customers are host country people who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results. Intermediate customers use USAID services, products, or resources to serve the needs of ultimate customers. USAID generally interfaces with customers through customer representatives, who work for organizations representing the interest of those targeted for USAID assistance.
Define Approach	Define the overall approach for achieving the strategic objective, including the type of tools (e.g., procurement vehicles and partnering relationships) and tactics (e.g., loan programs or

Name	Description
	research grants) that will be the conerstones of the approach.
Department of State	United States Department of State.
Develop Activity Plans (Project Planning)	Design and document the detailed pre-obligation plans for the activities to achieve the SO, including: - linkage to strategic plan and results framework - team structure, assignments, and work breakdown structure (interface to HR) - schedules and budgets - performance monitoring plan (deliverables and indicators) - supporting analyses - selection of tactics and planning for instruments and awards (interface to A&A for procurement planning) - environmental and statutory (Regional Legal Advisor) reviews - approval by cognizant OU management.
Evaluate Agency Program Results	Examine the extent to which results achieved by the agency's programs are meeting the regional and global needs that the programs address, and to the extent possible, how and why. Communicate this analysis to Congress, the agency, and the public in the Congressional Presentation and in USAID's annual accountability report. Results at the agency level are tracked mainly in terms of regional and worldwide needs and trends, often determined from public domain development knowledge, rather than in terms of the indicator data for local programs.
Evaluate Country Performance	Perform an analysis of the country's social, political, economic, and other factors which make it a likely recipient of USAID interventions.
Evaluate Operating Unit Results	Monitor year-to-year progress toward the SO, assess results and program impact in a broad context, report on results in R4, revise resource estimates, and evaluate the approaches and lessons learned at the time of closeout of the SO.
Evaluate Results	Assess whether the results achieved were the desired results, and to what extent they were or to what extent they were not. Evaluate whether the results are having the anticipated program impact. Provide any recommendations for changes to planned results.

Program Operations – Process/Actor Definitions

Name	Description
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Formulate Agency Policy	Formulate Agency policy in the context of USAID Management guidance. Analyze mandates from the US Legislative and Executive Branches of government and articulate Agency goals and priority areas. Establish a basis for allocating resources, and identify the types of performance indicators needed for measuring results. Define acceptable practices for use in Agency programs. Communicate goals and policies to Bureaus and Operating Units through the Agency Strategic Plan and other vehicles to serve as the framework for operating units strategic planning.
Guide Agency Program	Guide Agency programs by defining a broad strategic framework within which operating unit strategic plans will be developed. Provide a framework for review and approval of operating unit plans. Evaluate the results of the USAID programs at a global level and communicate to Congress and the public. Interpret legislative and executive mandates in terms of impact on the program, and communicate resulting parameters to the Agency.
Host Country Government	The government of the country hosting the USAID mission and/or program.
Human Resources	The USAID business area through which the Agency recruits and trains its workforce, administers employee actions such as evaluations and promotions, establishes the compensation and benefits of employees, and makes payroll transactions.
Identify Lessons Learned	Identify implications of information gathered during the evaluation process for application or replication in addressing similar problems in other settings.
Knowledge Management	Knowledge management consists of identifying, retrieving, storing, sharing, and evaluating knowledge. Knowledge represents an understanding of information validated by experience.
Manage Implementation (project management)	Manage the day-to-day activities of carrying out the project to achieve the strategic objective, including monitoring progress and expenditures, identifying and resolving problems, replanning as necessary, updating resource requests, and recording results.
Monitor Activity Implementation (Project Management)	Monitor and manage the activities carried out to achieve the strategic objective, including: - monitor availability of funds, execution of budget, and congressional notification of upcoming obligations (interfaces with financial management and budget execution)

Name	Description
	- plan and request award (interface with A&A; commitments and obligations are diagrammed in A&A) - monitor performance of partner (interface with A&A; monitoring performance and authorizing payment are diagrammed in A&A) - check end use of commodities in the custody of partners to confirm utilization in accordance with terms of the award - identify and resolve problems and revise plans as necessary - record results
Negotiate SO Agreement	Negotiate the umbrella agreement with the host country government under which USAID will operate to achieve the strategic objective (SO). Mission directors have responsibility and authority to negotiate and approve SO agreements. Multiple instruments may be used under an SO agreement. These are tracked through sub-commitments, sub-obligations, and sub-agreements.
Negotiate Strategic Objective Agreement	Negotiate an agreement with the host government reflecting the commitment of USAID and the host government to carry out the program as defined.
Obtain Approval	Obtain approval of the strategic plan, including the SOs and the supporting results frameworks, from USAID/W.
Partner	An organization or customer representative with whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: private voluntary organizations, indigenous and other international nongovernment organizations, universities, other USG agencies, UN and other multilateral organizations, professional and business associations, private businesses, and host country governments at all levels.
Plan Operating Unit Results	Develop an operating unit strategic plan consistent with Agency guidance. Assess customer needs in a broad context of regional development and transition issues and local constraints. Factor in the plans and capabilities of local partners and the act ivies of other donors in the region. Document an approach for each strategic objective (SO) within the plan.
Prepare Impact Analysis	Record the cause, effect, and significance of the achieved result on the broader society or environment.
Program Operations	The Program Operations business area. Supports results tracking, activity tracking, participation

Name	Description
	tracking, budget planning, team functionality, schedule implementing, planning and administration.
Program Operations	USAID Program Operations business area. Supports results tracking, activity tracking, participation tracking, budget planning, team functionality, schedule implementing, planning and administration.
Record Strategic Plan	Articulate the approach decided on for the SO as an element within the operating unit's strategic plan.
Review Results and Request Resources	Perform annual review of progress toward achieving results and replanning of resources required to meet the strategic objective. This is part of the annual R4 process, which is also part of the Agency's budgeting cycle.
Review/Approve Regional/Local Plans	Review and approval of all operating unit strategic plans by cognizant bureau management. The review ensures that a complete analysis of the strategic objectives has been conducted, that the plan is compliant with policy, and that the plan is appropriate in light of resource constraints. Approval represents the establishment of a management contract between USAID/W and the operating unit, and is required before the operating unit may implement the plan.
USAID Management	Upper level management of USAID.
USAID/W	United States Agency for International Development, Washington headquarters.
USAID/W only	Diagrammatic symbol for business processes performed in USAID/W only.
Validate Approach	Determine if results are being achieved according to plan. Determine whether the chosen approach is achieving results, needs to be modified, or should be cancelled. Make any recommendations for changes to tools and tactics.

Appendix D. Budget

Appendix D shows the architecture diagrams and accompanying data dictionary for the Budget business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Each diagram in this list depicts two or more lower level processes and the data flows between them, as well as the data flows between the processes and external entities. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8300. Budget (Decomposition)

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                                    ┌──────────┐
                                    │  Budget  │
                                    └────┬─────┘
     ┌──────────────┬──────────────┬─────┴────────┬────────────────┐
┌─────────┐  ┌────────────┐  ┌────────────┐  ┌──────────┐  ┌────────────┐
│ Prepare │  │ Formulate  │  │  Request   │  │ Allocate │  │  Execute   │
│ Budget  │  │  Agency    │  │  Agency    │  │  Funds   │  │  Agency    │
│Guidance │  │  Budget    │  │  Budget    │  │          │  │  Budget    │
└────┬────┘  └─────┬──────┘  └─────┬──────┘  └────┬─────┘  └─────┬──────┘
```

Prepare Budget Guidance	Formulate Agency Budget	Request Agency Budget	Allocate Funds	Execute Agency Budget
Determine Budget Guidance	Determine Activity Budget	Prepare OMB Budget Submission	Request Apportionment	Monitor Budget Execution
Establish New Account	Negotiate Budget	Determine OMB Reclama	Post Apportionment	Manage ICASS Budget
Review Budget Guidance	Develop Justification	Record Target Level	Transfer Funds	Manage Local Currency Trust Funds
Release Budget Guidance	Negotiate ICASS Services	Prepare President's Budget	Develop Justification	
Determine Earmark/Directive		Prepare Congressional Presentation	Distribute Funds	
		Develop Justification	Distribute OYB	
			Distribute Allowances	
			Provide Congressional Notification	

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┌─────────────────────────────┐
│   Budget (Decomposition)    │
│          SA/2001            │
│   Wed Feb 09, 2000  10:32   │
│─────────Comment─────────────│
│          Budget             │
│──────Diagram Number─────────│
│           8300              │
└─────────────────────────────┘
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D-2

Diagram 8340. Allocate Funds

Financial performance status used by process 4.1 includes deobligations of bilateral assistance agreements, deobligations made through A&A, and any other unused prior year budget authority. Financial performance status used by process 4.5 includes funding for non-appropropriated accounts.

USAID/W only

2.4.4 Develop Justification

unused prior year budget authority

financial performance status

2.4.1 Request Apportionment

justification

posted appropriation

2.3 Request Agency Budget

Financial Management

oyb distribution data

transferred funds

The FM business process posts allotments and allowances for the operating units based on the OYB provided by the Budget business process.

2.5 Execute Budget

apportionment request

Office of Management and Budget

posted apportionment

2.4.2 Post Apportionment

approved apportionment

Operating Unit

2.4.5 Distribute Funds

transferred funds

2.4. Allocate Funds (OMT Data Flow)
SA/2001
Wed Feb 09, 2000 10:24
——Comment——
Budget
—Diagram Numbe—
8340

notification

reimbursement

USG Agency

transferred funds

mgmt/legislative decisions

Congress

USAID Management

mgmt/legislative decisions

2.4.3 Transfer Funds

D-3

Diagram 8301. Budget Business Area

Host Country Government

— trust fund reports →
← trust fund agreement —

USAID Management

— mgmt/legislative decisions policy guidance →

○ ● ○

2 Budget

submission
icass workload requirements

Department of State

reviewed submission
icass invoice
icass mou

congressional presentation
notification

Congress

foreign assistance legislation
cp format
appropriation

Office of Management and Budget

— omb guidance and level controls ** approved apportionment →
← omb submissions *** apportionment request —

USG Agency

← reimbursement —
← transferred funds —

trust fund reports
oyb distribution data
icass financial data*

financial performance status
unused prior year budget authority
icass financial data *

budget guidance
resource constraints
budget execution reports
budgetary event notice

Financial Management

resource request
upcoming obligation

Program Operations

Budget Business Area
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 09:59
——— Comment ———
Budget
——— Diagram Numbe ———
8301

* icass financial data - icass service bill + icass service reimbursement + icass cost distribution

** omb guidance and level controls - Circular A-11 + deflator amounts + omb base + omb passback + omb mark

*** omb submissions - budget submission + budget explained + president's budget involving appeal of the omb passback

Diagram 8303. Budget Processes

2. Budget Processes (OMT Data Flow)
SA/2001
Tue Feb 15, 2000 13:27
—Comment—
Context Diagram for Budget
—Diagram Number—
8303

* icass financial data - icass service bill + icass service reimbursement + icass cost distribution

** budget execution information = budget execution reports + budgetary event notice

*** omb guidance and level controls - Circular A-11 + deflator amounts + omb base + omb passback + omb mark

**** omb submissions - budget submission + budget explained + president's budget involving appeal of the omb passback

Diagram 8350. Execute Agency Budget

Program Operations

budgetary event notice

budget execution reports

notification

Congress

2.4 Allocate Funds

icass invoice

Department of State

ICASS Council

upcoming obligation

hold

oyb distribution data

2.5.1 Monitor Budget Execution

ou payment data

2.5.2 Manage ICASS Budget

spending controls and limits

trust fund reports

financial performance status

icass cost distribution

icass service bill

USAID Mission Only

Host Country Government

trust fund agreement

trust fund reports

2.5.3 Manage Local Currency Trust Funds

2.5. Execute Agency Budget (OMT Data Flow)
SA/2001
Wed Feb 09, 2000 10:28
----Comment----
Budget
----Diagram Number----
8350

icass service reimbursment

Financial Management

trust fund reports

USAID/W reports to the Treasury via State on the use of trust funds.

Diagram 8320. Formulate Agency Budget

Department of State

icass workload requirements

icass mou

ICASS Council

Operating Unit

2.2.4 Negotiate ICASS Services

selected services

estimated cost

new account/classification

budget guidance

2.1 Prepare Budget Guidance

resource constraint

Program Operations

resource requirement

2.2.1 Determine Activity Budget

agency administrator's approved request

2.3 Request Agency Budget

omb base

omb mark

budget proposed

Financial Management

financial performance status

2.2.2 Negotiate Budget

controls set

justification

need justification

2.2. Formulate Agency Budget (OMT Data Flow)
SA/2001
Thu Feb 10, 2000 18:36
——————Comment——————
Budget
——————Diagram Number——————
8320

mgmt/legislative decisions

USAID Management

2.2.3 Develop Justification

Processes on this diagram take place in USAID/W except as noted.

Diagram 8310. Prepare Budget Guidance

Office of Management and Budget
— omb base →

USAID Management
— policy guidance →

Congress
— foreign assistance legislation →

USAID/W only

2.1.1 Determine Budget Guidance
— new account/classification → 2.1.2 Establish New Account

targets proposed / targets appealed

2.1.3 Review Budget Guidance

new account/classification →

2.2 Formulate Agency Budget

budget guidance approval

2.1.4 Determine Earmark/Directive
— earmark/directive →

2.1.5 Release Budget Guidance
— budget guidance → Program Operations

2.1. Prepare Budget Guidance
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 10:01
----------Comment----------
Budget
----Diagram Numbe----
8310

Budget guidance is distributed to Bureaus and Operating Units (OUs), and is used in the Program
Operations business process at the OU level to prepare resource requests (part of the R4).

Diagram 8330. Request Agency Budget

Office of Management and Budget

omb base → 2.3.3 Record Target Level
omb passback →
omb mark →

omb base
omb mark
appropriation

posted appropriation

passback appealed → 2.3.2 Determine OMB Reclama

2.4 Allocate Funds

budget explained

need justification

budget explained

circular a-11 → 2.3.4 Prepare President's Budget

omb mark →

president's budget →

2.3.4 Prepare President's Budget

need justification → 2.3.6 Develop Justification
budget explained ←

need justfication
budget explained

congressional presentation

Congress

cp format

budget explained

need justification

omb base → 2.3.1 Prepare OMB Budget Submission

budget submission →

2.3.5 Prepare Congressional Presentation

agency administrator's approved request

2.3. Request Agency Budget
(OMT Data Flow)
SA/2001
Wed Feb 09, 2000 10:23
─────Comment─────
Budget
─────Diagram Numbe─────
8330

reviewed submission   submission

Department of State

agency administrator's approved request

2.2 Formulate Agency Budget

Processes on this diagram take place in USAID/W.

D-9

Diagram 8390. Agency Budgeting Flow (Event Trace)

Operating Unit	Regional Bureau	M/BUD & PPC	OMB	Congress (via USAID LPA)

Request Agency Budget

OMB base

budget guidance ← **Prepare Budget Guidance**

Formulate Agency Budget

OMB base

R4 submittal →

bureau budget submittal

budget submission

OMB mark ← OMB mark

President's budget

Congressional presentation →

appropriation

note: this chart presents a high-level overview of the sequencing of budget guidance, budget formulation, budget request, and funds allocation processes. See individual event trace diagrams for details.

Allocate Funds

approved apportionment

OYB distribution data ←

statistical annex

notification

allowance ←

Agency Budgeting Flow (OMT Event Trace)
SA/2001
Mon Sep 20, 1999 14:52
─Comment─
Time flows vertically down the page. Arrows represent data flows between organizations or business areas, and also processes involving more than one organization or business area.
──Diagram Numbe──
8390

items in italics are supplementary to the information in the Budget data flow diagrams

loops represent iterative processes or flows

D-10

Diagram 8393. Allocate Funds (Event Trace)

Operating Unit	Regional Bureau	Financial Management	M/BUD & PPC	OMB	Congress (via USAID LPA)

Request Apportionment

approved apportionment

Post Apportionment

earmarks and directives

Transfer Funds

Distribute Funds

OYB distribution data

653 report

statistical annex

notification

quarterly OE allocation

allotment (program and OE)

allocation (to programs)

allowance (to field units)

Allocate Funds (OMT Event Trace)
SA/2001
Mon Sep 20, 1999 14:53
─────Comment─────
Time flows vertically down the page. Arrows
represent data flows between organizations or
business areas, and also processes involving more
than one organization or business area.
─────Diagram Number─────
8393

items in italics are supplementary to the information in the Budget data flow diagrams
loops represent iterative processes or flows

Diagram 8391. Formulate Agency Budget (Event Trace)

Operating Unit   Regional Bureau   M/BUD & PPC   OMB   Congress (via USAID LPA)

Prepare Budget Guidance

Determine Activity Budget

OMB base   Request Agency Budget

Negotiate Budget

Negotiate Budget

Develop Justification

R4 submittal

Negotiate Budget

Negotiate Budget

Develop Justification

Agency Administrator's approved request

bureau budget submittal

Request Agency Budget   *note: OMB submission*

OMB mark   Request Agency Budget

Negotiate Budget

Negotiate Budget

Develop Justification

CP format

Request Agency Budget   Congressional presentation

Formulate Agency Budget
(OMT Event Trace)
SA/2001
Mon Sep 20, 1999 14:50
—— Comment ——
Time flows vertically down
the page. Arrows represent
data flows between
organizations or business
areas, and also processes
involving more than one
organization or business
area.
—— Diagram Numbe ——
8391

items in italics are supplementary to the information in the Budget data flow diagrams
loops represent iterative processes or flows

D-12

Diagram 8394. ICASS (Event Trace)

USAID as a Provider of ICASS Services

USAID as a Recipient of ICASS Services

Operating Unit   Regional Bureau   M/BUD & PPC   OMB   Congress (via USAID LPA)

OMB base

record target level

Formulate Agency Budget

Fromulate Agency Budget

Prepare OMB Budget Submission

OMB passback

Record Target Level

Determine OMB reclama

Develop Justification

budget explained

OMB mark

Record Target Level

Formulate Agency Budget

Formulate Agency Budget

Prepare President's Budget

CP format

Request Agency Budget
(OMT Event Trace)
SA/2001
Mon Sep 20, 1999 14:52

Prepare Congressional Presentation   Congressional Presentation

Congressional Hearings

── Comment ──

Develop Justification

Time flows vertically down
the page. Arrows represent
data flows between
organizations or business
areas, and also processes
involving more than one
organization or business
area.

appropriation

Record Target Level

Allocate Funds

── Diagram Number ──
8392

items in italics are supplementary to the information in the Budget data flow diagrams

loops represent iterative processes or flows

Diagram 8392. Request Agency Budget (Event Trace)

Data Dictionary

Name	Description
agency administrator's approved request	Request as reviewed and approved by the USAID Administrator.
apportionment request	The amount of funding asked of OMB, by USAID, to be made available for obligation. This is done by the "Apportionment and Reapportionment Schedule" of the OMB. Funds are requested at the account level.
appropriation	An act of Congress permitting Federal agencies to incur obligations for a specified purpose, e.g., Foreign Assistance and Releated Programs Appropriation Act, 1990.
approved apportionment	The amount of the request apportionment approved by the OMB.
budget execution information **	Budget execution reports + budgetary event notice
budget execution reports	Summary and detailed information for Agency technical officers, program managers, and operating unit administrators of Agency spending against OYB budget levels. The information includes reports of pipeline (cumulative obligations less expenditures) and mortgage (planned costs less cumulative obligations) for purposes of program management.
budget explained	The justification provided for any budget items in question.
budget guidance	Framework for setting the Agency budget; consists of (1) policies, (2) budget control amounts, (3) budget formulation schedule with due dates.
budget guidance approval	The final, reviewed, and approved version of budget guidance ready for release to the Agency.
budget proposed	A budget submitted to higher Agency management for subsequent review and negotiation. The stages of annual budget development at USAID are: R4 -- Results review and resource request, developed by Operating Units (OUs) for their activities and submitted to the OU's Regional Bureau BBS -- Bureau budget submittal, developed from the R4s of the OUs in the region and submitted to the M/Bud office. OMB budget submittal -- Developed from the BPBS budgets by M/Bud and submitted to OMB and subsequently to Congress

Name	Description
	OYB -- Operating Year Budget developed by M/Bud, the bureaus, and the OUs following appropriation by Congress, reflecting the actual level of funding made available.
budget submission	A complete budget ready for submission to a higher authority.
budgetary event notice	A notice to the cognizant program officials that a budgetary control or other limit has been or will shortly be reached, or that Congress has imposed a hold affecting upcoming obligations.
circular a-11	An OMB directive on how to prepare the OMB submission and President's Budget.
congressional presentation	USAID's formal request to Congress for resources. The CP provides detailed justification of the rationale for proposed activities in each country and program world-wide. The CP also summarizes the evaluation of program results at a regional and global level, by program area.
controls set	A set of target or ceiling levels for budget items and categories.
cp format	The format in which Congress wishes to see the budget presented. This format can change from year to year.
deobligation	Funds obligated for a specific activity that are undisbursed and subsequently withdrawn, following a determination that they are not required for that activity.
earmark/directive	Congressionally mandated or desired spending targets in particular areas. Earmarks refer to Congressional mandates identifed in appropriation legislation. Directives are desires or preferences expressed as Administration direction, but without legislative authority. Earmarks and directives must be tracked in the budget and accounted for in reports to Congress.
financial performance status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting control system (ACS) levels. This data may be for the current year or any prior year, as requested.
foreign assistance legislation	The enabling legislation for USAID, primarily the Foreign Assistance Act of 1961 (as amended), together with annual appropriation legislation.

Budget – Data Flow Definitions

Name	Description
hold	A suspension imposed by Congress on the obligation of funds for a particular program, activity, or instrument; for instance, pending hearings following the receipt of a Congressional Notification.
icass cost distribution	Determination by USAID/W of ICASS cost attributable to USAID bureaus and operating units.
icass financial data *	ICASS service bill + ICASS service reimbursement + ICASS cost distribution
icass invoice	Notification to a USAID operating unit of the icass services for which it will be billed and the amount to be billed.
icass mou	International Cooperative Administrative Support Services (ICASS) memorandum of understanding (mou) establishing the services requested by the Agency or to be offered by the Agency to other ICASS customers.
icass service bill	Notification of the receipt a bill of a given amount for services that the agency has used under an ICASS agreement.
icass service reimbursment	Notification of the receipt of a reimbursement of a given amount that USAID/W (M/FM) has received for services rendered by the agency under an ICASS agreement.
icass workload requirements	International Cooperative Administrative Support Services (ICASS) workload requirements for services requested by the Agency.
justification	A case made for justification to a higher authority for the amounts requested and their consistency with Agency themes and objectives.
mgmt/legislative decisions	Management and legislative decisions that affect budget negotiations.
need justification	An expressed need for a justification for a particular budget item. Justifications are intended to help the reviewing budget officials understand the nature and relevance of the proposed activity budget levels.
new account/classification	A new account or a new classification category created in response to policy decisions (for example, to highlight existing activities or expand a program area).

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Name	Description
non-appropriated accounts	Accounts in the USAID budget containing funding that is derived from sources other than US Congress appropriations; for instance, reimbursements from non-US Government sources, contributions, and trust funds from other countries.
notification	A Congressional or Technical notification, informing Congress of planned USAID obligations. A Congressional notification is required by law whenever USAID adopts a new strategic objective, increases a funding level by $5 million or more, radically redesigns an activity, funds an activity from a new account, or performs a cash transfer in support of an activity. A Technical notification is prepared whenever the OYB funding of an ongoing activity is increased by 10% or more (in the Development Assistance account), but by less than $5 million. Other accounts such as Economic Support Funds require technical notification for increases of any amount.
omb base	The initial guidance from the OMB regarding the budget ceilings for the Agency for the coming budgeting cycle.
omb guidance and level controls ***	A combined data flow representing: Circular A-11 + deflator amounts + OMB base + OMB passback + OMB mark. Note: deflator amounts are used to adjust budgets to constant dollars.
omb mark	The final budget levels, approved by the OMB, which the Agency can request from Congress for a given fiscal year.
omb passback	The intial amount that the OMB has determined the Agency can request from Congress for a given fiscal year.
omb submissions ****	A combined data flow representing all submissions from USAID to the OMB, including: budget submission + budget explained + President's budget as well as any data required for negotiations involving appeal of the OMB passback.
ou payment data	Information tracking the payments made by operating units for the amounts they owe on the Agency's ICASS bill.
oyb distribution data	Information enabling authorized officials throughout the Agency to obligate funds according to the Operating Year Budget (OYB). OYB distribution data include: Strategic Objective (and activity) definition and code, sources of funds codes, restrictions and constraints, dollar amount, date and

Name	Description
	period of validity.
passback appealed	Those budget items within the OMB passback which the Agency is appealing to the White House.
policy guidance	Agency priorities from the view of senior management, completed for the current planning year; articulated through PPC.
posted apportionment	The obligation rate control that OMB uses to allocate funds to USAID. Currently, funds may be apportioned by quarter (e.g., OE funds), by project (e.g., credit and disaster programs), or for a full fiscal year.
posted appropriation	The Congressional appropriation as recorded in USAID's financial systems.
president's budget	Annual budget request to Congress by the President, prepared by federal agencies under the direction of OMB. It is a summary of economic and fiscal conditions affecting the preparation of the budget, narrative, and a listing of each individual appropriation account for all agencies and programs for a 3-year period --actual (prior) year, operational (current) year, and budget (next) year.
reimbursement	Funds transferred between another agency and USAID for obligation on behalf of that agency.
resource constraints	The actual amount of resources planned to be available to be obligated for a unit of work.
resource request	A forecast by time period (month, quarter, or year) of labor, goods, services, etc., required to carry out a given activity over its expected lifetime. Resource requirements are expressed as estimated financial obligations for the purpose of budgeting. They are collected from Operating Units as part of the annual Results Review and Resource Request (R4) process.
reviewed submission	Review comments on the Agency Budget from the Department of State.
submission	A copy of the proposed Agency budget provided to the Department of State for review and comment.
targets appealed	Revised versions of targets proposed, identified during the course of budget guidance review.
targets proposed	Proposed sets of budget targets and accompanying policies and formulation schedule that will

Name	Description
	constitute budget guidance; expected to be revised following review until a final version of the guidance is agreed on.
transferred funds	Funds allocated to or from other agencies, under various legislative authorities, which move budget authority between agencies. Also, funds transferred between USAID accounts.
trust fund agreement	A legal agreement enabling a host country government to contribute to USAID's economic assistance program in the country's own currency. The trust fund agreement establishes USAID management authority over the funds and identifies the uses to which the funds can be put. The money is held in a local bank under an account name clearly identified with the US Government. The USAID Mission Director is the de-facto owner of the account. Trust funds may only be used within the host country, and are "no-year" funds for purposes of obligations (their availability does not expire unless the program terminates or the trust fund agreement expires).
trust fund reports	Status of LCTF activity sent to USAID/W and the host country government through regular summary reports. For the host country, the reports depend on local regulations and the requirements of the trust fund agreement. For USAID/W, the reports include the Status of Cash Report - Foreign Currency Trust Fund (MACS, U-111 or U-109) and the Summary of Allotment Ledger Transactions Reconciliations with Disbursing Officer's Accounts (MACS, U-106). In USAID/W (M/FM) consolidates these reports and transmits them through the Department of State to the Treasury.
unused prior year budget authority	Amounts of the funds authorized for any year prior to the current operating year, that have not been obligated or expended by the Agency. Data include account codes and original fund destination. Budget authority consists of the legal authorization to enter into obligations that result in outlays (cash disbursements) of government funds.
upcoming obligation	Notice of a planned upcoming obligation for purposes of informing Congress via Congressional or Technical notification, and notice of any of the changes in planned activities or spending level that would trigger a Congressional or Technical notification.

Budget – Data Store Definitions

Name	Description
spending controls and limits	Limits and controls on the use of Agency funding, imposed by Congress, the Executive Branch, or USAID management.

Budget − Process/Actor Definitions

Name	Description
Allocate Funds	Distribute apportioned funds to programs and operational units.
Congress	United States legislature.
Department of State	United States Department of State.
Determine Activity Budget	Determine the amount of new funding that is needed to finance the acquisition of resources required for an activity within a given fiscal year.
Determine Budget Guidance	Develop anticipated budget availability and set budgetary targets (minimum and maximum) against the Agency's priorities.
Determine Earmark/Directive	Identify legally mandated (earmarked) and Administratively directed maximum and minimum obligation levels by reviewing USAID related appropriation and authorization legsilation, along with their accompanying Congressional Committee reports.
Determine OMB Reclama	Identify the priority accounts that were reduced by OMB and determine the budget amount to appeal, if any. This process is necessary for potential reclamation of funds (reclama).
Develop Justification	Compose narrative descriptions to explain the proposed programs and activities and their objectives for the year the budget is being prepared.
Distribute Funds	Distribute the authority to obligate funds (i.e., distribute the OYB) for either one activity or a collection of activities. Activities are currently grouped by organization, but they may be grouped in other ways such as by geographic area or by objective. This business process ensures management and financial controls on obligation authority. The actual posting of the allotments and allowances is performed through the FM system.
Establish New Account	Define and document a proposed new budgetary account and/or classification category.
Execute Agency Budget	The processes involved in executing the Agency's operating year budget, including monitoring the status of spending, ensuring that Congress is notified of upcoming obligations, managing local

Name	Description
	currency trust funds, and managing special aspects of the Agency budget, such as ICASS.
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Formulate Agency Budget	Assemble the Agency budget estimate.
Host Country Government	The government of the country hosting the USAID mission or in which USAID has a non-presence program.
Manage ICASS Budget	Manage the budget associated with International Cooperative Administrative Support Services (ICASS), a system for providing interagency administrative services overseas, administered by the State Department. USAID may be both a user of ICASS services (in which case it reimburses the provider) and a provider of ICASS services (in which case it is reimbursed). Management of the ICASS budget is a joint responsibility of the operating unit and USAID/W (M/BUD and M/FM). The operating unit establishes the services it will use or provide in a memorandum of understanding with the State Department / ICASS Council [the anticipated expense and/or income is included in the budget formulation process]. USAID/W monitors the ICASS budget across the agency, receives the aggregated ICASS bill and/or reimbursement from the State Department, identifies the distribution of the ICASS cost across bureaus and operating units, and monitors the payment of those costs by the responsible operating units.
Manage Local Currency Trust Funds	Manage local currency trust funds (LCTFs), which are host country funds dedicated to USAID programs, and which are held in local bank accounts under USAID stewardship. Each mission must manage LCTFs in accordance with the regulations of the host country as well the reporting requirements of USAID/W. LCTF management procedures include the maintenance of an investment account ledger for the LCTF, approval of all disbursement transactions by a designated authority, and generation of trust fund reports for USAID/W and the host country government. LCTFs are subject to certain spending limits imposed by the OMB, which are expressed in dollar amounts, requiring conversion to local currency. See ADS 581.
Monitor Budget Execution	Monitor the use of the Agency's funds against the operating year budget (OYB), and ensure that the Agency complies with all required limits and controls imposed by Congress and/or the Executive Branch.

Name	Description
Negotiate Budget	Align the combined proposed budgets for a set of aggregated activities with Bureau, Agency or Congressional priorities and their planned funding levels.
Negotiate ICASS Services	Identify services that the USAID mission could procure from another agency at the post. Estimate workload requirements and cost. Also determine if the USAID mission could provide services to other agencies at the post, and estimate income. Negotiate an agreement with the State Department (ICASS council) regarding services to be supplied or procured. Document in a memorandum of understanding.
Office of Management and Budget	Office of Management and Budget (OMB), an office of the White House (executive branch of government). The OMB manages the federal budget.
Operating Unit	A USAID organization at office-level or above that expends program funds to achieve a Strategic Objective.
Post Apportionment	Record the amount of funds made available to USAID by OMB.
Prepare Budget Guidance	Develop anticipated budget availability and set budgetary targets (minimum and maximum) against Agency's priorities.
Prepare Congressional Presentation	Assemble, approve, and transmit USAID's budget request to Congress. This presentation contains country and activity level details in support of the Agency's portion of the President's Budget.
Prepare OMB Budget Submission	Prepare, Approve, and transmit the Agency's submission to OMB.
Prepare President's Budget	Develop USAID's portion of the President's Budget.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and tracks the results.
Property Management	The USAID business area through which the Agency tracks and controls both real and personal property, where personal property includes both expendable and non-expendable property.

Name	Description
Record Target Level	Register the following account level controls passed from OMB or Congress: · Base - OMB · Passback - OMB · Mark - OMB · Appropriation - Congress
Release Budget Guidance	Distribute budget guidance after bureau management approval to the Budget Decision Units (i.e., missions and offices).
Request Agency Budget	Formally request Agency funding from the Legislative Branch via the Executive Branch.
Request Apportionment	Request that OMB make monies that have been authorized by Congress available to USAID's Treasury account.
Review Budget Guidance	Review and approve priorities, proposed budget target amounts, and due dates in advance of detailed budget analysis. Also, permit bureau management to provide budget guidance to their subordinate units based on bureau objectives and priorities.
Transfer Funds	Transfer budget authority from a USAID controlled account to a different account controlled either by USAID or by another USG agency. The transfer will usually increase the base for the receiving account while decreasing the base for the other account.
USAID Management	Senior level management of USAID up to and including the Agency Administrator.
USG Agency	Agencies of the US Government other than USAID.

Appendix E. Acquisition and Assistance

Appendix E shows the architecture diagrams and accompanying data dictionary for the Acquisition and Assistance business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Each diagram in this list depicts two or more lower level processes and the data flows between them, as well as the data flows between the processes and external entities. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8211. A&A Support (Decomposition)

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                                    ┌─────────────┐
                                    │ A&A Support │
                                    └──────┬──────┘
   ┌──────────┬──────────────┬─────────────┼──────────────┬──────────────┐
┌──────────┐ ┌──────────┐ ┌──────────────┐ ┌──────────┐ ┌──────────────┐ ┌──────────┐
│  Train   │ │  Issue   │ │  Administer  │ │  Review  │ │   Manage     │ │  Assess  │
│Procurement│ │ Warrant  │ │ Procurement  │ │Procurement│ │  Financial   │ │  Host    │
│ Officers │ │          │ │    Policy    │ │ systems  │ │    Audit     │ │Contracting│
└──────────┘ └────┬─────┘ └──────┬───────┘ └──────────┘ └──────┬───────┘ │  System  │
                  │              │                             │         └──────────┘
            ┌──────────┐   ┌──────────────┐              ┌──────────┐
            │Assign A&A│   │  Interpret   │              │  Review  │
            │Authority │   │   Guidance   │              │  Audit   │
            └────┬─────┘   └──────────────┘              └──────────┘
                 │              │                             │
            ┌──────────┐   ┌──────────────┐            ┌──────────────┐
            │Assign A&A│   │  Interpret   │            │ Resolve Audit│
            │Authority │   │ Solicitation │            │Recommendation│
            │  Level   │   │   Guidance   │            └──────────────┘
            └──────────┘   └──────────────┘                  │
                                │                      ┌──────────────┐
                           ┌──────────────┐            │Negotiate Indirect Cost│
                           │Interpret Award│           │    Factor    │
                           │   Guidance   │            └──────────────┘
                           └──────────────┘
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┌─────────────────────────────┐
│      A&A Support            │
│     (Decomposition)         │
│        SA/2001              │
│  Wed Feb 09, 2000  12:27    │
│─────── Comment ──────────── │
│  Acquisition & Assistance   │
│───── Diagram Number ─────── │
│          8211               │
└─────────────────────────────┘
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Diagram 8200. Acquisition and Assistance (Decomposition)

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                        ┌──────────────────┐
                        │ Acquisition and  │
                        │   Assistance     │
                        └────────┬─────────┘
        ┌────────────────┬───────┴────────┬────────────────┐
   ○ ● ○            ○ ● ○            ○ ● ○            ○ ● ○
 ┌──────────┐   ┌──────────────┐  ┌──────────────┐  ┌──────────────┐
 │ Planning │   │Award Formation│ │    Award     │  │ A&A Support  │
 │          │   │               │ │Administration│  │              │
 └──────────┘   └──────────────┘  └──────────────┘  └──────────────┘
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┌─────────────────────────────────────┐
│      Acquisition and Assistance      │
│           (Decomposition)            │
│               SA/2001                │
│       Wed Feb 09, 2000  12:31        │
│───────────────Comment────────────────│
│        Acquisition & Assistance       │
│──────────────Diagram Numbe────────────│
│                 8200                  │
└─────────────────────────────────────┘
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Diagram 8208. Award Administration (Decomposition)

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                              ┌─────────────────────┐
                              │ Award Administration│
                              └──────────┬──────────┘
      ┌──────────────┬──────────────┬────┴─────────┬──────────────────┐
┌───────────┐  ┌───────────┐  ┌───────────┐  ┌───────────┐  ┌────────────────┐
│ Administer │  │  Modify   │  │  Monitor  │  │ Close Out │  │    Monitor     │
│   Award    │  │   Award   │  │Performance│  │   Award   │  │  Subcontracts  │
└─────┬──────┘  └───────────┘  └─────┬─────┘  └─────┬─────┘  └────────────────┘
      │                              │              │
┌───────────┐               ┌───────────┐   ┌───────────────┐
│ Authorize │               │  Receive  │   │ Review Funds  │
│ Payments  │               │  Delivery │   │    Status     │
└─────┬─────┘               └───────────┘   └───────┬───────┘
      │                            │                │
┌───────────┐               ┌───────────────┐  ┌────────────────┐
│  Manage   │               │    Review     │  │ Account For    │
│   Award   │               │  Deliverable  │  │ Property       │
│  Action   │               │ Requirements  │  │ Acquired       │
└───────────┘               └───────┬───────┘  └────────────────┘
                                    │
                            ┌───────────────┐
                            │   Determine   │
                            │  Compliance   │
                            └───────┬───────┘
                                    │
                            ┌───────────────┐
                            │    Accept     │
                            │ Delivery Item │
                            └───────┬───────┘
                                    │
                            ┌───────────────┐
                            │    Reject     │
                            │ Delivery Item │
                            └───────────────┘
```

Award Administration
(Decomposition)
SA/2001
Wed Feb 09, 2000 12:31
───────Comment───────
Acquisition & Assistance
──Diagram Number──
8208

E-4

Diagram 8205. Award Formation (Decomposition)

```
                              ┌──────────────────┐
                              │  Award Formation │
                              └──────────────────┘
                                       │
    ┌──────────────┬──────────────┬────┴────────┬───────────────────┐
┌─────────────┐ ┌──────────────┐ ┌───────────┐ ┌───────────────┐ ┌──────────────────┐
│  Prepare    │ │   Revise     │ │  Solicit  │ │   Evaluate    │ │ Determine Apparent│
│ Solicitation│ │ Solicitation │ │ Responses │ │   Response    │ │      Winner       │
└─────────────┘ └──────────────┘ └───────────┘ └───────────────┘ └──────────────────┘
                                       │              │                   │
                               ┌───────────────┐ ┌──────────────┐ ┌──────────────┐
                               │   Advertise   │ │  Determine   │ │     Make     │
                               │  Solicitation │ │Responsiveness│ │  Selection   │
                               └───────────────┘ └──────────────┘ └──────────────┘
                                       │              │                   │
                               ┌───────────────┐ ┌──────────────────┐ ┌──────────────┐
                               │    Receive    │ │    Establish     │ │ Execute Award/│
                               │   Response    │ │ Competitive Range│ │Obligate Funds │
                               └───────────────┘ └──────────────────┘ └──────────────┘
                                       │              │                   │
                               ┌───────────────┐ ┌──────────────────┐ ┌──────────────┐
                               │     Amend     │ │ Analyze Technical│ │    Manage    │
                               │  Solicitation │ │     Response     │ │    Protest   │
                               └───────────────┘ └──────────────────┘ └──────────────┘
                                                      │
                                              ┌──────────────────┐
                                              │  Analyze Cost    │
                                              │    Response      │
                                              └──────────────────┘
```

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┌─────────────────────────────────┐
│        Award Formation          │
│        (Decomposition)          │
│            SA/2001              │
│    Wed Feb 09, 2000  12:32      │
│──────────Comment────────────────│
│    Acquisition & Assistance     │
│────────Diagram Numbe────────────│
│            8205                 │
└─────────────────────────────────┘
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E-5

Diagram 8202. Planning (Decomposition)

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                                    ┌──────────┐
                                    │ Planning │
                                    └──────────┘
```

Planning

- Plan OP Staff Workload & Deadlines
- Revise Request
- Accept Request
- Consolidate OU Procurement Plans
- Review Request
- Plan OU Staff Workload
  - Assign Request
  - Create Schedule
  - Perform Workforce Analysis
- Consolidate & Assign A&A Requests
  - Compare Request
  - Review Existing Solicitation
  - Amend Award

Perform Fiscal Year Planning
- Identify Needs
- Define and Maintain Procurement Plan

Analyze A&A Requirement
- Determine Award Type
- Estimate Value
- Create A&A Plan
- Select Timing
- Create Request
- Determine Activity
- Determine Resource
- Select Competition Type
- Determine Result
- Review Services & Commodities Needs

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┌─────────────────────────────┐
│ Planning (Decomposition)    │
│ SA/2001                     │
│ Wed Feb 16, 2000  10:51     │
│ ─────── Comment ───────     │
│ Acquisition & Assistance    │
│ ───── Diagram Numbe ─────   │
│ 8202                        │
└─────────────────────────────┘
```

Diagram 8212. Acquisition and Assistance Support

USAID/W OP only

guidance

3.4.4 Train Procurement Officials

Procurement Executive

approval → **3.4.1 Administer Procurement Policy**
----

guidance

procurement management certification program records

procurement system review

3.4.3 Review Procurement Systems
----

procurement policy

guidance

warrant sign-off

3.2.4 Evaluate Responses

award

guidance

Contracting Office

warrant tracking records

3.4.2 Issue Warrant

3.4.6 Manage Financial Audit
----

audit report

3.3.4 Close Out Award

3.4. A&A Support (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 11:03
----------------Comment----------------
Acquisition & Assistance
----------------Diagram Numbe----------------
8212

3.4.5 Assess Host Country Contracting System
----

assessment

approval

assessment results

Mission Director

warrant

E-7

Diagram 8213. Acquisition and Assistance Business Area

Vendor

solicitation
award notification
award

solicitation response
protest

Procurement
Executive

guidance
procurement system review

approval
warrant sign-off

Contracting
Office

guidance
warrant

assesment

Congress

reports on a&a actions

OMB

federal
procurement
actions
report

Small
Business
Administration

subcontracting
statistics

3 Acquisition and
Assistance

currently available property
replacement needs
notification of receipt

acceptance criteria
final disposition of property

Property
Management

(Business Support Services)

procurement document *
payment authorization
close-out notification
vendor information

Financial
Management

financial performance status
vendor information

award

Program
Operations

resource constraints
program/oe needs
input to request
program results
contractor evaluation

personal services contract employees

Human
Resources

contractor
performance

contractor performance

(at NIH)

Acquisition and Assistance Business
Area (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 10:56
————Comment————
Acquisition & Assistance
————Diagram Numbe————
8213

* procurement document = commitment document +
decommitment
document + obligation document + deobligation document

Diagram 8201. Acquisition and Assistance Processes

* procurement document = commitment document + decommitment document + obligation document + deobligation document

Diagram 8209. Award Administration

notification of receipt

3.3.1 Administer Award

award performance

3.3.2 Monitor Performance

contractor performance

(currently NIH contractor past performance data base)

3.1.9 Accept Request

accepted request for modification

Property Management

(Business Support Services)

contractor evaluation

Program Operations

program results

3.3.3 Modify Award

award modification

Congress

reports on a&a actions

award

3.3.4 Close Out Award

audit report

accepted request for modification

3.4.6 Manage Financial Audit

final disposition of property

OMB

federal procurement actions report

3.3.5 Monitor Subcontracts

(applies only to US firms)

Property Management

close-out notification

procurement document *

Vendor

(vendor may originate a request for modification)

Financial Management

3.3. Award Administration (OMT Data Flow)
SA/2001
Tue Feb 15, 2000 14:13
───Comment───
Acquisition & Assistance
───Diagram Number───
8209

policy

subcontracting statistics

(Business Support Services)

procurement document *

Small Business Administration

financial performance status

payment authorization

* procurement document = commitment document + decommitment document + obligation document + deobligation document

E-10

Diagram 8206. Award Formation

* procurement document = commitment document + decommitment document + obligation document + deobligation document

Diagram 8207. Determine Apparent Winner

3.2.5. Determine Apparent Winner (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 11:08
———Comment———
Acquisition & Assistance
———Diagram Number———
8207

award

personal services contract employees → Human Resources

3.2.6 Evaluate Response

3.2.5.1 Manage Protest

3.2.5.3 Execute Award/Obligate Funds

winner

protest

acceptance criteria

apparent winner

Property Management

(Business Support Services)

responsive offers

3.2.5.2 Make Selection

award notification → Vendor ← award

procurement document *

Financial Management

* procurement document = commitment document +
decommitment document + obligation document + deobligation document

Diagram 8204. Perform Fiscal Year Planning

Property Management

(Business Support Services)

currently available property

replacement needs

program/oe needs

Program Operations

program results

resource constraints

award

3.1.1.1 Identify Needs

quantity requirements

schedule requirements

3.1.1.2 Define and Maintain Procurement Plan

3.1.1. Perform Fiscal Year Planning
(OMT Data Flow)
SA/2001
Tue Feb 15, 2000 14:07
Comment
Acquisition & Assistance
Diagram Number
8204

USAID/G only

field support contracts

field support plan

a&a fy plan

Diagram 8203. Planning

Data Dictionary

Acquisition and Assistance – Data Flow Definitions

Name	Description
acceptance criteria	Guidelines to inspect delivered personal property based on the original purchase order.
accepted request	A request for procurement for which the Contracting Officer and the Negotiator are satisfied that all information required is on the request or attached to it.
accepted request for modification	An accepted request which will be executed by modifying an existing award rather than making a new award.
accepted solicitation	Solicitation material, including advertisement and source list as applicable, that is ready to provide to vendors.
advertisement	Public notification of proposed or potential solicitations or of newly issued awards. May be accomplished by publication in the Commerce Business Daily, newspapers, professional journals, or posted in a public area.
apparent winner	Initial selection of winner, prior to possible change due to protest.
approval	The sign off or authorization of a warranted Contracting Officer.
approved modification	A modification to an award that has been approved for implementation.
assessment	The act or instance of investigating the contracting systems and procedures used in the host country, and approving the systems and procedures for use on USAID funded programs.
assigned request	A request which has been forwarded by the CO to the Contracts Negotiator or specialist to be processed. The request may be for a single award, a consolidated award, or a modification to an existing award.
audit report	The final report of a financial audit conducted on an Agency contractor or grantee.
award	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include:

Name	Description
	(1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to $100,000 value. (2) Large Purchases: -- (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). -- (b) accomplished through assistance awards, both grants and cooperative agreements. -- (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.
award modification	A change to the terms of an award.
award notification	The notification by the Contracting Officer to the vendors specifying who responded to the solicitation and the award winner.
award performance	The degree to which the contractor or grantee has satisfactorily completed the work items specified in the award document (goods and services delivered on schedule, quantity as specified, quality acceptable, cost as negotiated, etc.). Award performance is tracked as part of award administration and is the basis for authorizing payment under the terms of the award.
close-out notification	Notification to the Agency's financial managment business area that a given award has been fully closed out and that no more financial activity against it is to be forthcoming.
commitment document	Commitments are an (optional) stage before an obligation. They help to anticipate future procurement awards and obligations (JFMIP CFS Requirements). They help to assure that funds are available before entering into an obligation. When multiple instruments are awarded under a single agreement, the commitments for these instruments are called sub-commitments. A commitment document includes: requisition number requestor identification purpose accounting classification (estimated) dollar amount date

Acquisition and Assistance – Data Flow Definitions

Name	Description
completed request	A request that meets all applicable criteria for formation of an award.
consolidated request	A request that has been consolidated with others of a similar nature for efficiency.
contractor evaluation	The CTO's (Cognizant Technical Officer) assessment of the contractor's performance in carrying out the statement of work and/or in meeting schedule, quantity, and quality requirements for deliverables.
currently available property	Personal property that is currently in the inventory.
de-commitment document	De-commitments occur when there is a change in the acquisition scope or a reduction in the expected amount. It includes the following data: commitment ID amount date
de-obligation document	De-obligations occur when there is a change in the contract with a reduction of the obligated amount. It includes the following data: obligation ID dollar amount date
deficiencies	Any missing or erroneous information in a request or solicitation.
deliveries	Delivery of items or services in accordance with the award document.
evaluation	The process of reviewing and analyzing vendor responses to a solicitation.
evaluation criteria	The criteria set forth in the information provided for the solicitation and used to evaluate the vendor's reponse.
federal procurement actions report	Report made quarterly to OMB regarding all Agency procurement actions for the quarter.
final disposition of property	Specification as to the manner in which any program property remaining at the close of an award will be disposed (e.g., transferred to host country government, sold, etc.).

Name	Description
financial performance status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting control system (ACS) levels. This data may be for the current year or any prior year, as requested.
guidance	Acquisition processes and policies which are directed or regulated by public law, FAR or AIDAR.
input to request	Information needed to create a request for acquisition or assistance, including as pertinent specifications of quality and quantity, delivery dates, statement of work, results expected to be achieved, and line item details such as GSA product service code and OMB object class code (resource category).
notification of receipt	A record documenting that ordered materials were received. This may require the information in the event of a multiple-part shipment, or a handwritten notation on the acquisition document, where the order is received in a single shipment. Receiving reports are in English, indicate item cost in U.S. currency, and have any damage or discrepancies noted. Report may include owner of item, procurement document number, receiving report number and date, and method of acquisition.
obligation document	Obligations are transactions made during a given time period that will require payment during the same or a future time period (JFMP CFS Requirements). An obligation is a written agreement establishing USAID's fiscal responsibility to effect payment pursuant to delivery of goods or services (refer to ADS 571). When multiple instruments are awarded under a single agreement, the obligations for these instruments are called sub-obligations. An obligation document includes the following data: obligating document number and type vendor ID accounting classification referenced commitments dollar amount date period of validity
operating needs	Administrative support expenditure needs for the operating unit.

Name	Description
payment authorization	The CTO's (or authorizing officer's) notification to the FM office as to the goods or services that have been received and providing the administrative approval for payment to vendor. It includes the following data: Obligation number (or voucher number) Vendor ID Dollar amount Date
personal services contract employees	The total number of US personal service contract employees.
procurement document *	commitment document + decommitment document + obligation document + deobligation document
procurement system review	The final report on an a review of system records and activities against Agency and Federal procurement policy, with recommendations for correcting deficiencies or making improvements. .
program results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved.
program/oe needs	Program needs are the goods and services necessary for achieving the strategic objective. Information regarding program needs is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (OE) needs are those administrative or facility requirements needed to support the programs being carried out by the operating unit.
protest	Action taken by a vendor who has major concerns, questions, or disagrees with the contracting officers award decision.
quantity requirements	The quantity of goods and services of a given type needed to meet program and OE needs, identified against the potential award vehicles through which they could be obtained.
replacement needs	Personal property that needs to be replaced because it has met its useful life as defined in the regulations or will meet its useful life within the next procurement cycle.

Name	Description
reports on a&a actions	Reports to Congress regarding USAID A&A actions, made on an ad hoc basis in response to inquiries or in support of presentations.
request	The establishment of a need to acquire goods and/or services or to support an assistance activity. A request defines the requirements for the goods and services to be procured or the assistance to be provided. The request contains the resource information that will be used for committing and obligating funding. under a selected instrument.
request for modification	A procurement request which provides for a change in scope and/or funding of an existing award.
resource constraints	The actual amount of resources planned to be available to be obligated for a unit of work.
resource requirement	A forecast of labor, goods, services, etc., by a time period (month, quarter, or year), required to carry out a given unit of work over its expected lifetime. Resource requirements are expressed as estimated financial obligations for the purpose of budgeting. They are collected from Operating Units as part of the annual Results Review and Resource Request (R4) process.
responsive offers	Proposals and offers submitted in response to a solicitation for items or services which are compliant with the evaluation criteria set forth in the soliciting documents.
review/approval	The review of procurement documentation by a designated authority and subsequent approval upon correction of deficiencies.
revised request	A request that has been revised by the requestor to address deficiencies.
revised solicitation	A solicitation that has been revised by the requestor to address deficiencies.
revision	A change to correct a deficiency.
schedule requirements	The high-level schedule on which goods and services of a given type would need to be procured to meet program and OE needs.
solicitation	Formal communication (written or verbal) of USAID requirements to interested vendor/recipients for the purpose of generating proposals, bids, or quotes from vendor/recipients for evaluation and award selection.

Name	Description
solicitation response	Response from vendors to the solicitation (vendor's proposal or price quote).
subcontracting statistics	Reports that the Agency is required to submit to the Small Business Administration (SBA) providing statistics on the types of businesses subcontracting with the Agency.
support requirements	The procurement support requirements derived from the consolidated OU procurement plans, reflecting the administrative and processing load that the Office of Procurement must plan for.
vendor information	Vendor information includes: vendor ID vendor name address(es) phone numbers bank account(s) and electronic fund transfer information other required information for advertising, disbursement, and reporting.
warrant	A document issued by the procurement establishing the authority for a USAID employee to act as a procurement official.
warrant sign-off	The signature of the warrant by the Procurement Executive, authorizing the holder of the warrant to perform the procurement activities as described in the warrant.
work schedules	An OU's timeline for conducting procurement activities to meet program needs, allowing for OU staffing workload and accommodating the key dates required for any support the OU needs from the Office of Procurement at USAID/W.

Name	Description
a&a fy plan	The high-level documentation of the goods and services required to be purchased and the awards to be made in a given fiscal year, including preliminary schedules.
agency a&a plan	The Agency-wide a&a plan formed from the consolidation of the operating unit plans.
award	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to $100,000 value. (2) Large Purchases: -- (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). -- (b) accomplished through assistance awards, both grants and cooperative agreements. -- (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs. The awards data store tracks the individual awards and their status (e.g., goods and services delivered to date and goods and services scheduled for delivery).
contractor performance	The contractor performance data store is used to record contractor performance on active awards and to report on contractor performance on past awards. Currently USAID uses the NIH contractor performance system to enable contracting officers to record contractor performance and report on contractor past performance. Missions also rely on others in the agency to personally (email/phone) inform them about the past performance of contractors.
field support awards	Instruments managed by the USAID Global Bureau. Operating Units may provide funds to USAID Global for procurements of program goods and services against these vehicles.
field support plan	A procurement plan developed in conjunction with the A&A FY plan that defines the operating units intentions for using the USAID Global field support mechanism.
op work schedule	A planning instrument defined in USAID/W by the Office of Procurement (OP) and provided to

Name	Description
	operating units, containing the key dates by which operating units requiring support from OP must have items available for submission to USAID/W.
procurement assignment	Assigned requests and the personnel assignments for the roles required to process the requests. Roles include: Contracting Officer (CO) -- Individual with authority to enter into, administer, and/or terminate contracts and make related determinations and findings. The CO possesses a warrant and has the authority to obligate funds on behalf of the Agency. The term includes certain authorized representatives of the CO acting within the limits of their authority as delegated by the CO. "Administrative contracting officer (ACO)" refers to a CO who is administering contracts. "Termination contracting officer (TCO)" refers to a CO who is settling terminated contracts. A single CO may be responsible for duties in any or all of these areas. Reference in [the FAR] to ACO or TCO does not (a) require that a duty be performed at a particular office or activity or (b) restrict in any way a contracting officer in the performance of any duty properly assigned. (FAR 2.101) Contract Negotiator -- Individual responsible to the Contracting Officer for negotiating the award. The Contract Negotiator cannot obligate funds. Contracting Officer Technical Representative (COTR) -- individual charged with the responsibility of determining whether service or goods provided by the vendor meet the requirements as stated in the contract. The COTR represents the requesting organization.
procurement management certification program records	The Procurement Management Certification Program (PMCP) is a database of employees and the corresponding procurement classes they have taken.
procurement policy	Regulations and guidance on procurement, including: Federal Acquisition Regulations (FAR), Agency for International Development Acquisition Regulations (AIDAR), and Contract Information Bulletins (CIB).
regional a&a plan	The consolidation of the a&a support plans of the client operating units within a region, used by the Regional Center to document the amount of a&a service it expects to provide for the client missions and the corresponding workload implications.
warrant tracking records	Data store tracking the issuance of warrants (authorizations to make obligations on behalf of the Agency) to Agency employees.

Acquistion and Assistance – Process/Actor Definitions

Name	Description
A&A Support	The administrative support processes required for the maintenance of an effective A&A capability within the Agency and for reporting to Congress, the public, and USAID management on A&A activities.
Accept Request	Acceptance of a completed request by the program manager who authorizes the commitment of funds.
Acquisition and Assistance	USAID business area that acquires goods and services, and provides assistance. An acquisition is the acquiring by contract with appropriated funds of supplies or services (including construction) by and for the use of the Federal Government through purchase or lease, whether the supplies or services are already in existence or must be created, developed, demonstrated, and evaluated. (FAR 2.101)
Administer Award	Perform the administrative functions necessary for active awards. Track receipt and acceptance of goods and services and the achievement of program results(award performance as monitored by the CTO is the basis for this assessment). Authorize the Financial Management business area to make or withhold payment, based on performance, under the terms of the award. If necessary provide for transportation of commodities. Track list of goods and services that are scheduled for future delivery. Track post-award correspondence. Provide support to overseas contracting officers and host country procurement agents as necessary.
Administer Procurement Policy	Develop and issue Agency procurement policies, regulations, and guidelines. Evaluate contracting activities to ensure compliance with Agency and Federal procurement policies, regulations, and guidelines.
Analyze A&A Requirement	Analyze requirements for procurement; covers acquisition, assistance, and interagency agreements. The analysis determines the detailed information required to turn a procurement plan into a set of requests for procurement.
Assess Host Country Contracting System	Investigate the contracting systems and procedures used in the host country and approve the systems and procedures for use on USAID funded programs.
Award Administration	The administrative support processes required for the monitoring of active awards and the modification or termination of these awards.

Name	Description
Award Formation	The process of soliciting responses to an acquisition or assistance request, evaluating the responses, selecting an awardee, and issuing the award. The specific steps required depend on whether the award is for acquisition or assistance, and on the type of instrument.
CTO	The Cognizant Technical Officer (CTO) is the individual charged with the responsibility of determining whether service or goods provided by the vendor meet the requirements as stated in the contract. The CTO represents the requesting organization.
Close Out Award	Conduct administrative activities after final receipt and acceptance of all goods and services that are deliverable on an award. Process the final voucher, finalize the indirect cost rates, deobligate any remaining funds or obligate any additional funds as required, and dispose of any remaining program property as specified by the contract. The close out award can include termination for convenience and may require a third party unit.
Commerce Business Daily	A US government publication announcing upcoming solicitations, available to the public on the Internet or by newsletter.
Consolidate & Assign A&A Requests	Consolidate similar purchase requests by the Contracting Officer into an integrated A&A request to be worked by the Contract Negotiator. This consolidation could also be against an existing award, which would then be modified.
Consolidate OU Procurement Plans	Consolidate procurement plans of individual operating units, and the plans of regional centers, to determine the overall procurement needs for the Agency. Contracting officers at regional centers put together the plans for several missions, and send them to USAID/W in response to the annual call for procurement plans. The Office of Procurement in USAID/W consolidates these plans for procurements that USAID/W will perform on behalf of the missions.
Contract Negotiator	The Contract Negotiator is responsible to the Contracting Officer for negotiating the award. The Contract Negotiator cannot obligate funds.
Contracting Office	An office that awards or executes a contract for supplies or services and performs post-award functions not assigned to a contract administration office. (FAR 2.101). The UDSAID Director of Procurement is in charge of the Agency's contracting office.

Name	Description
Contracting Officer	A person with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. The Contracting Officer possesses a warrent and has the authority to obligate funds on behalf of the Agency. The term includes certain authorized representatives of the contracting officer acting within the limits of their authority as delegated by the contracting officer. "Administrative contracting officer (ACO)" refers to a contracting officer who is administering contracts. "Termination contracting officer (TCO)" refers to a contracting officer who is settling terminated contracts. A single contracting officer may be responsible for may be responsible for duties in any or all of these areas. Reference in [the FAR] to administrative contracting officer or termination contracting officer does not (a) require that a duty be performed at a particular office or activity or (b) restrict in any way a contracting officer in the performance of any duty properly assigned. (FAR 2.101)
Define and Maintain Procurement Plan	Define the procurement plan to meet needs. Refine as needed to accommodate resource constraints; for instance, by adjusting the quantity requirements. Adjust as necessary on the basis of progress toward program results.
Determine Apparent Winner	Select the responsive proposal or bid that is the most cost-effective vehicle for the Agency, on the basis of price/cost analysis and technical merit. The term "apparent" is used to denote the possibility of a protest which could change the final winner determination. Determine Apparent Winner includes making the selection, managing any protests, and executing the award. This process is performed by the contracting officer.
Evaluate Response	Review responsible offerors against the evaluation criteria as stated in the solicitation and provide the results to the contracting officer. Evaluation is the responsibility of the Contract Negotiator. An evaluation panel may be convened to provide input. Evaluation includes: -- determine responsiveness (i.e. does proposal respond to solicitation) -- analyze technical response and rank responses -- perform cost/price analysis -- audit responders as necessary -- reference contractor performance database (NIH) and other sources of information on contractor past performance, such as USAID project manager experience.
Execute Award/Obligate Funds	Issue the award with appropriate clauses, schedules, and funding. The obligation of funds occurs when the award is made. The process is performed by the authorized contracting officer.

Acquistion and Assistance – Process/Actor Definitions

Name	Description
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Human Resources	The USAID business area through which the Agency recruits and trains its workforce, administers employee actions such as evaluations and promotions, establishes the compensation and benefits of employees, and makes payroll transactions.
Identify Needs	Establish/determine necessary property or service for purchase by evaluating program and OE needs, including property replacement needs. Check against current awards to determine if some of the required goods and services are already on order.
Issue Warrant	Administer the issuing of warrants, which authorizes the Contracting Officer to obligate USAID for certain types of awards up to a set dollar limit. The Procurement Executive signs a contracting warrant for the Contracting Officer to grant this authority.
Make Selection	Make the Agency's choice of offeror to receive the award. Selection includes: -- Determine responsibility (the offeror must meet any legal requirements levied on the awardee, have the financial and technical means to carry out the award, and a have record of business integrity) -- Determine competitive range (i.e., the subset of offerors qualified to be considered for the award) -- Conduct exchanges (negotiations) with offerors in the competitive range, allowing the offerors to revise their proposals -- Document memorandum of negotiation -- Announce the apparent winner (i.e., the winner under the provision that no protest overturns the selection).
Manage Financial Audit	Manage the financial audit of a USAID award. This process is usually performed jointly by the Financial Management business area (i.e., the Controller's Office) and the Contracting Office. The actual audit may be performed by a contractor (independent of any contractor being audited).
Manage Protest	Manage and administer a registered protest made by a losing bidder. A protest can occur at any time but is generally associated with the announcement of an apparent winner of a competitive award.

Name	Description
Modify Award	Negotiate, document, and distribute a change to an award. The modification can be due to changes in line items, administrative changes, application of incremental funding, changes in the Statement of Work, or the de-obligation of funds. The modification of an award requires a justification and approval. (FAR 3.104-4) Award modified by the CTO, Cognizant Technical Officer.
Monitor Performance	Determine whether the vendor or the grantee is performing in accordance with the terms of the award. Performance monitoring is the duty of the Cognizant Technical Officer (CTO).
Monitor Subcontracts	Monitor the performance of subcontracts and perform administrative functions as necessary. This process is the duty of the Subcontractor Administrator and applies only to OE procurements.
Past Performance Database	A data store containing information on the past performance of certain contractors. The Agency currently uses a past performance data base system maintained by the National Institutes of Health (NIH) to record and access information on its contractors. Use of past performance data is restricted to authorized procurement professionals.
Perform Fiscal Year Planning	Determine preliminary procurement plans tied to the requested budget of an organization or program for the fiscal year. These plans will be refined and detailed following the distribution of the OYB. Preliminary procurement plans do not include all the details required to process a request for procurement.
Plan OP Staff Workload & Deadlines	Determine the staff workload and associated deadlines for the support that the Office of Procurement in USAID/W provides the rest of the Agency.
Plan OU Staff Workload	Plan the staff workload for the procurement professionals and the technical or administrative personnel involved in procurement at an Operating Unit, usually performed by the Contracting Officer.
Planning	Perform preliminary and detailed planning for procurement. Planning should begin at a high-level stage during the R4 process to create a preliminary procurement plan for the coming year. This plan should reflect the needs of the SOs in the budget submitted to Congress. Once Congress has appropriated funds, the preliminary procurement plans should be updated to create the annual procurement plans for OUs, regions, and the Agency. When the OYB distribution process is completed, these plans can be refined and evolved into the detailed procurement requests.

Name	Description
Prepare Solicitation	Create a solicitation to be sent to prospective bidders. The Contracting Officer creates the solicitation. Accompanying the solicitation may be advertisements, clearances, source lists, and solicitation and delivery schedules.
Procurement Executive	The Agency officeal responsible for the interpretation of policy and guidance in accordance with the FAR/AIDAR. The Procurement Executive is also responsible for granting warrants.
Program Manager	A senior person within the requesting organization, responsible for the budget and authorized to commit funds to a request.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and tracks the results.
Property Management	The USAID business area through which the Agency tracks and controls both real and personal property, where personal property includes both expendable and non-expendable property.
Requestor	The Requestor can be anyone in USAID who requires a product or a service. Typically the Requestor is a technical officer within a program or operating unit to which funds have been allocated to fund purchases of goods and services. The requestor can also be another business area, such as Human Resources, Program Operations or Property Management.
Review Procurement Systems	Evaluate procurement files and records and make recommendations for the improvement of current processes.
Review Request	Review the procurement request for completeness. The Contracting Officer and the Contracts Negotiator review the request. If revisions are necessary, the request goes back to the requestor for update and resubmission. When all requirements are met the request is accepted and the procurement formally begins.
Revise Request	Respond to any deficiencies found in the request during its review. The Requestor revises the request. Review and revision of requests continue in an iterative fashion until the request is read for submission.

Acquistion and Assistance – Process/Actor Definitions

Name	Description
Revise Solicitation	Respond to any deficiencies found in the solicitation during its review by the Contracting Office.
Small Business Administration	The United States Small Business Administration (SBA).
Solicit Responses	Distribute the solicitation to prospective bidders. For a grant, the solicitation may be advertised on the internet, in local newspapers, and by direct mail to prospective grantees on a source list. For a contract, the Agency advertises in Commerce Business Daily (CBD) and possibly other vehicles as well.
Train Procurement Officials	Ensure that Agency procurement officials understand the pertinent regulations, policies, procedures, and systems for procurement. This training is part of the Procurement Management Certification Program.
Vendor	A vendor is a person, company, or affiliate that provides goods or services to USAID.

Appendix F.   Business Support Services

Appendix F shows the architecture diagrams and accompanying data dictionary for the Business Support Services business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Each diagram in this list depicts two or more lower level processes and the data flows between them, as well as the data flows between the processes and external entities. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8100. Business Support Services (Decomposition)

Business Support Services

Travel and Transportation

Property Management

Security Administration

Manage Agency Travel

Manage Personal Property

Manage Transportation and Storage

Manage Real Property

Business Support Services
(Decomposition)
SA/2001
Wed Feb 16, 2000 11:50
Comment
Business Support Services
Diagram Number
8100

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Diagram 8114. Property Management (Decomposition)

Property Management
- **Manage Real Property**
  - **Manage Functional Property**
    - Identify Real Property
    - Identify Functional Space Needs
    - Determine Embassy Compound Availability
    - Inspect Real Property
    - Maintain Real Property
    - Assign Functional Property
  - **Manage Residential Property**
    - Identify Real Property
    - Manage LQA
    - Determine Housing Profile
    - Assign Residential Property
    - Maintain Real Property
- **Manage Personal Property**
  - **Obtain Personal Property**
    - Receive/Inspect Property
    - Barcode/Store Property
  - **Control Personal Property**
    - Track Capital Assets
    - Track Motor Vehicles
    - Issue/Transfer Property
    - Inventory Property in Custody
    - Dispose of Non-Expendable Property
    - Track Non-Custody USAID Property
    - Track Expendable Property Consumption

Property Management
(Decomposition)
SA/2001
Wed Feb 16, 2000 12:17
─────Comment─────
Business Support Services
─────Diagram Number─────
8114

F-4

Diagram 8150. Travel and Transportation (Decomposition)

```
                        ┌─────────────────────────┐
                        │ Travel and Transportation│
                        └─────────────┬───────────┘
                    ┌─────────────────┴─────────────────┐
          ┌──────────────────┐              ┌──────────────────────────┐
          │  Manage Agency   │              │ Manage Transportation and│
          │     Travel       │              │         Storage          │
          └────────┬─────────┘              └────────────┬─────────────┘
                   │                                     │
          ┌──────────────────┐              ┌──────────────────────────┐
          │ Prepare Travel   │              │    Validate Request      │
          │Authorization Doc.│              └────────────┬─────────────┘
          └────────┬─────────┘                           │
          ┌──────────────────┐              ┌──────────────────────────┐
          │ Approve Travel   │              │  Pack and Transport      │
          │Authorization Req.│              │     Belongings           │
          └────────┬─────────┘              └────────────┬─────────────┘
          ┌──────────────────┐              ┌──────────────────────────┐
          │ Authorize Travel │              │   Store/Retrieve         │
          └────────┬─────────┘              │     Belongings           │
          ┌──────────────────┐              └──────────────────────────┘
          │ Track PSC Travel │
          └────────┬─────────┘
          ┌──────────────────┐
          │ Report on Agency-│
          │  Funded Travel   │
          └────────┬─────────┘
          ┌──────────────────┐
          │ Arrange Entitlement│
          │     Travel       │
          └──────────────────┘
```

Travel and Transportation (Decomposition)
SA/2001
Wed Feb 16, 2000 11:50
─────────────Comment─────────────
Business Support Services
─────────────Diagram Numbe─────────────
8150

F-5

Diagram 8120. Property (Object Model)

Property

Personal Property

Real Property

Capitalized Property
non-expendable
greater than $25,000
greater than 2yr service life

Non-Capitalized Property
less than $25,000

High-end motor vehicles

Non-Expendable Property

Expendable Property

Functional Property

Residential Property

Office Buildings

Apartments

Parking Lots

Houses

Warehouses

Townhomes

Office Machines

Desktrays

Motor Vehicles

Communications Equipment

Computer Parts

Machine Parts

ADP Equipment

Office/Household Furniture

Car Tires

Office Supplies

Property (OMT Object Model)
SA/2001
Mon Feb 14, 2000 10:54
— Comment —
Business Support Services
Boxes on this diagram represents classes of property. Rounded boxes contain examples of the
type of property in the class.
— Diagram Number —
8120

Diagram 8101. Business Support Services Business Area

Requestor

assigned property
requisition

Employee

transportation status
transportation arrangements

Department
of State

Funding Post

post concurrence

travel authorization

funding data

personal belongings request
travel authorization
planned TDY travel
travel voucher

Financial
Management

property asset accounting data
financial performance data

USAID/W Only
Department
of State

embassy space assignment
rpms input
collocation waiver

initial value of asset
asset disposal
notification of reciept
capitalized asset depreciation
inventory value
obligation document
commitment document

Foreign Buildings Office
State Dept. Security

approval
disapproval

USAID/OMS

acceptance criteria
final disposition of property

Acquisition
and Assistance

USAID Security

housing profile

○ ● ○

4 Business Support Services

notification of receipt
replacement needs
currently available property

approved
housing profile

property issued/transferred
lqa request

IAHB

reassignment

appeal

assignment nomination cable
staffing strategy
personnel record
lqa

Human
Resources

custody
property

psc travel authorization

redistribution
sale

Business Support Services Business Area
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 14:10
─────Comment─────
Business Support Services
─────Diagram Numbe─────
8101

custody
property

travel reports

approval

non-custody property

authorization

US Despatch
Agent

Vendor

Authorizing
Official

USAID/W
Management

Approving
Official

Partner

Personal
Services
Contractor

Recipient

USAID/W: M/AS/TT
Mission: EXO

USAID/W: Bureau official
Mission: Controller

F-7

Diagram 8109. Control Personal Property

GSA

maintenance report

cobra report

M/Bud

Partner

non-custody property

○ ● ○

4.2.2.2.3 Track Motor Vehicles

property issued/transferred

4.2.2.2.2 Issue/Transfer Property

Motor vehicles initially valued at $25K are also tracked as capital assets.

4.2.2.2.6 Track Expendable Property Consumption
● ● ● ●

4.2.2.2.7 Track Non-Custody USAID Property

Human Resources

vehicle records

consumption

issuance/transfer

usaid property

personal property item

Requestor

requisition

assigned property

personal property item

capitalized property value

asset disposal

currently available property

4.2.2.2.1 Inventory Property in Custody

4.2.2.2.4 Track Capital Assets

Recipient

replacement needs

4.2.2.2. Control Personal Property (OMT Data Flow) SA/2001 Mon Feb 14, 2000 10:30
———Comment———
Business Support Services
———Diagram Number———
8109

Acquisition and Assistance

capitalized asset depreciation

property asset accounting data

sale

redistribution

4.2.2.2.5 Dispose of Non-Expendable Property

inventory value

Financial Management

asset disposal

final disposition of property

F-8

Diagram 8104. Inspect Real Property

4.2.1.2.1
Identify Real
Property

real property location

4.2.1.1.3
Identify Real
Property

real property
location

performed by
General Service Officer
(GSO)

4.2.1.1.4.1 Measure
Space
_____

approval

performed by
Regional Security Officer
(RSO)

4.2.1.1.4.2 Inspect
Security
_____

approval

Residential and Functional Property

4.2.1.1.4.3 Lease/Purchase
Property
_____

approved property   assignment

disapproval

collocation waiver

approval

4.2.1.2.4 Assign
Residential
Property

4.2.1.1.7 Assign
Functional
Property

4.2.1.1.4. Inspect Real Property
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:51
───Comment───
Business Support Services
───Diagram Number───
8104

USAID/W Only

USAID/OMS

Department
of State

USAID Security

Foreign Buildings Office,
State Dept. Security

F-9

Diagram 8153. Manage Agency Travel

4.1.1.1 Prepare Travel Authorization Document

4.1.1.6 Arrange Entitlement Travel

4.1.1.2 Approve Travel Authorization Request

4.1.1.3 Authorize Travel

4.1.1.5 Report on Agency-Funded Travel

4.1.1.4 Track PSC Travel

- assignment nomination cable
- Human Resources
- planned entitlement travel
- planned TDY travel
- post concurrence
- request for travel authorization
- funding data
- Funding Post
- Approving Official
- approval
- financial performance status
- financial performance status
- USAID/W: Bureau official
- Mission: Controller
- commitment document
- Financial Management
- travel voucher
- Employee
- approved travel request
- requested entitlement travel
- Authorizing Official
- authorization
- obligation document
- travel authorization
- USAID/W: M/AS/TT
- Mission: EXO
- travel voucher
- travel reports
- travel authorization
- authorized travel
- travel roll-up
- USAID/W Management

4.1.1. Manage Agency Travel
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:00
—— Comment ——
Business Support Services
—— Diagram Number ——
8153

- psc travel authorization
- travel authorization
- Personal Services Contractor

Note: PSCs may be authorized in their contracts to conduct certain designated travel. Funds are committed, obligated, and expended as part of the normal contracting process in these cases, but the travel must still be tracked. In other cases, a PSC requesting program-funded TDY follows the same processing as a direct hire employee.

Diagram 8103. Manage Functional Property

Human Resources → staffing strategy → 4.2.1.1.1 Identify Functional Space Needs → space needs → 4.2.1.1.2 Determine Embassy Compound Availability → unmet space needs → 4.2.1.1.3 Identify Real Property

4.2.1.1.2 Determine Embassy Compound Availability → embassy space assignment → Department of State

capitalized asset depreciation → 4.2.1.1.6 Maintain Real Property → rpms input → Department of State

Financial Management → property asset accounting data → 4.2.1.1.6 Maintain Real Property

Department of State → rpms input → 4.2.1.1.7 Assign Functional Property

4.2.1.1.7 Assign Functional Property → equipment/furniture assignments → usaid property

approved property assignment → 4.2.1.1.4 Inspect Real Property

real property location

dissaproval

4.2.1.1.4 Inspect Real Property → real property location → 4.2.1.2 Manage Residential Property

4.2.1.1.4 Inspect Real Property → collocation waiver

approval

USAID/W Only
USAID/OMS
USAID Security
Department of State
Foreign Buildings Office, State Dept. Security

disapproval → 4.2.1.1.3 Identify Real Property

○ ● ○

4.2.1.1. Manage Functional Property
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:44
─Comment─
Business Support Services
Office Buildings and Space,
Warehouses and Parking Lots
─Diagram Number─
8103

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Diagram 8107. Manage Personal Property

Diagram 8102. Manage Real Property

USAID/W Only

USAID/OMS

USAID Security

Department of State

Foreign Buildings Office, State Dept. Security

equipment/furniture assignments

usaid property

equipment/furniture assignments

USAID/OMS

IAHB

approved staffing strategy

approved housing profile

Human Resources

staffing strategy

lqa

housing profile

lqa request

collocation waiver

4.2.1.1 Manage Functional Property

capitalized asset depreciation

property asset accounting data

4.2.1.2 Manage Residential Property

appeal

reassignment

approval

disapproval

Financial Management

property asset accounting data

4.2.1. Manage Real Property
(OMT Data Flow)
SA/2001
Mon Feb 14, 2000 15:52
----Comment----
Business Support Services
----Diagram Number----
8102

capitalized asset depreciation

rpms input

Department of State

embassy space assignment

rpms input

real property location

approved property assignment

F-13

Diagram 8105. Manage Residential Property

approved staffing strategy

4.2.1.2.1 Identify Real Property

real property location

4.2.1.1.4 Inspect Real Property

approved property assignment

Human Resources

lqa expense justification

employee

approved allowance

4.2.1.2.2 Manage LQA

lqa

staffing strategy

usaid property

Human Resources

lqa request

approved housing profile

USAID/OMS

equipment/furniture assignments

4.2.1.2.3 Determine Housing Profile

housing profile

IAHB

appeal

4.2.1.2.4 Assign Residential Property

reassignment

4.2.1.2. Manage Residential Property
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:52
─────── Comment ───────
Business Support Services
─── Diagram Number ───
8105

rpms input

capitalized asset depreciation

Financial Management

4.2.1.2.5 Maintain Real Property

rpms input

Department of State

property asset accounting data

F-14

Diagram 8154. Manage Transportation and Storage

Employee — travel authorization

Authorizing Official — M/AS/TT

Despatch Agent — delivery

4.1.2.1 Validate Request

personal belongings request

ship/receive directive

personnel record

Human Resources

4.1.2.3 Pack and Transport Belongings

transportation arrangements

Department of State — receipt

Vendor — delivery

transportation status

store/retrieve directive

4.1.2.2 Store/Retrieve Belongings

4.1.2. Manage Transportation and Storage
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:03
--------Comment--------
Business Support Services
--------Diagram Number--------
8154

goods in storage

USAID interfaces with STATS,
a Department of State transportation
information system, to arrange and track
delivery through Despacth Agents.

USAID may also contract
directly with transportation vendors
for door-to-door shipments

Note: The USAID Office of Travel and Transportation, located at USAID/W, is responsible for all Transportation and Storage processes.

Diagram 8108. Obtain Property

Acquisition and Assistance

US Despatch Agent

notification of receipt

acceptance criteria

custody property

custody property

Financial Management

initial value of asset

4.2.2.1.1 Receive/Inspect Property

Vendor

notification of receipt

custody property

accepted property

4.2.2.1. Obtain Property (OMT Data Flow)
SA/2001
Mon Feb 14, 2000 10:52
——————Comment——————
Business Support Services
——————Diagram Numbe——————
8108

4.2.2.1.2 Barcode/Store Property

usaid property

personal property item

F-16

Diagram 8112. Property Management

USAID/W Only

Department of State

Foreign Buildings Office
State Dept. Security

USAID/OMS

USAID Security

IAHB

embassy space assignment
rpms input
collocation waiver

approval
disapproval

approved
housing profile

housing profile

reassignment

appeal

4.2 Property Management

initial value of asset
asset disposal
notification of reciept
capitalized asset depreciation
inventory value

property asset accounting data

Financial Management

notification of receipt
replacement needs
currently available property

acceptance criteria
final disposition of property

Acquisition and Assistance

staffing strategy
lqa

property issued/tranferred
lqa request

Human Resources

custody property

custody property

requisition

assigned property

sale

non-custody property

US Despatch Agent

Vendor

Requestor

Recipient

Partner

4. Property Management (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 12:24
Comment
Business Support Services
Diagram Number
8112

F-17

Diagram 8113. Property Management Processes

USAID/W Only

Department of State

embassy space assignment
rpms input
collocation waiver

approval
disapproval

Foreign Buildings Office
State Dept. Security

USAID/OMS

USAID Security

equipment/furniture assignments

usaid property

personal property item
capitalized asset value
property action

personal property item
capitalized asset value
vehicle records

custody property

US Despatch Agent

custody property

Vendor

approved housing profile

4.2.1 Manage Real Property

staffing strategy
lqa request
lqa

Human Resources

property issued/transferred

4.2.2 Manage Personal Property

assigned property

requisition

Requestor

housing profile

IAHB

reassignment

appeal

initial value of assets
asset disposal
notification of reciept
capitalized asset depreciation
inventory value

property asset accounting data

Financial Management

capitalized asset depreciation

property asset accounting data

sale

redistribution

Recipient

notification of receipt
replacement needs
currently available property

4.2. Property Management Processes
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 13:12
————————Comment————————
Business Support Services
————Diagram Number————
8113

Acquisition and Assistance

acceptance criteria
final disposition of property

Partner

non-custody property

F-18

Diagram 8110. Track Motor Vehicles

usaid property

4.2.2.2.3.2 Provide Scheduling

USAID/W Only

M/Bud

cobra report

vehicle records

schedule information

4.2.2.2.3.1 Maintain Records

vehicle information

fleet

4.2.2.2.3.3 Generate Fleet Report

maintenance report

4.2.2.2.3. Track Motor Vehicles (OMT Data Flow)
SA/2001
Mon Feb 14, 2000 10:53
--------Comment--------
Business Support Services
-------Diagram Number-------
8110

GSA

Diagram 8151. Travel and Transportation

USAID/W: M/AS/TT
Mission: EXO

USAID/W: Bureau official
Mission: Controller

Authorizing Official

Approving Official

authorization

approval

USAID/W Management

Funding Post

funding data

post concurrence

travel reports

Human Resources

Personal Services Contractor

psc travel authorization

personnel record

Department of State

4.1 Travel and Tranportation

transportation arrangements

assignment nomination cable

transportation status

financial performance status

travel authorization

obligation document
commitment document

Employee

personal belongings request
travel authorization
planned TDY travel
travel voucher

Financial Management

4. Travel and Transportation
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 13:25
———— Comment ————
Business Support Services
———— Diagram Number ————
8151

Diagram 8152. Travel and Transportation Processes

USAID/W: Bureau official
Mission: Controller

Approving
Official

Personal
Services
Contractor

USAID/W
Management

psc travel authorization

approval

travel reports

Authorizing
Official

authorization

○ ● ○

4.1.1 Manage Agency
Travel

financial performance status

Financial
Management

USAID/W: M/AS/TT
Mission: EXO

travel voucher

commitment document

planned TDY travel

obligation document

Funding Post

funding data

Employee

travel authorization

post concurrence

assignment nomination cable

Human
Resources

○ ● ○

4.1.2 Manage
Transportation and
Storage

travel authorization

personal belongings request

personnel record

4.1. Travel and Transportation Processes
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 11:58
——— Comment ———
Business Support Services
——— Diagram Number ———
8152

transportation arrangements

transportation status

Department
of State

Diagram 8111. Acquire Property (Event Trace)

Property Management (Requestor, COTR, Program Manager)	Acquisition and Assistance (CO/Negotiator)	Financial Management (Controller Office)	Vendor

- request
- Commit Funds
- Solicit Responses
- solicitation responses
- Evaluate Responses
- Determine Apparent Winner
- Execute Award/Obligate Funds
- award
- award
- property
- *send invoice*
- Receive/Inspect Property
- *forward copy of invoice*
- notification of receipt
- notification of receipt
- payment authorization
- *match documents*
- *send payment/return invoice*
- *ship rejected property*
- Barcode/Store Property

Acquire Property (OMT Event Trace)
SA/2001
Mon Feb 14, 2000 10:54
——— Comment ———
Business Support Services
Time runs vertically down the page. Arrows represent data flows between actors/business areas, and processes involving more than one actor. Processes in this diagram are in the Property Management and Acquisition and Assistance business areas. italicized flows are supplementary information.
——— Diagram Number ———
8111

Data Dictionary

Name	Description
acceptance criteria	Guidelines to inspect delivered personal property based on the original purchase request.
accepted property	Received property that has been accepted following inspection to verify that it meets the acceptance criteria specified on the basis on the original purchase request.
allowance denial	Denial of authorization of living quarters allowance.
appeal	Employee request for an exception to the Department of State's worldwide housing standards because of unusual circumstances.
approval	The approval of the requested travel authorization for commitment of funds and final review.
approved housing profile	The housing profile approved by USAID and the IAHB for an operating unit in a host country.
approved property assignment	The approved assignment for real property, including the vehicle for acquiring the property: new lease, modified lease, or purchase, with mortgage information as required.
approved staffing strategy	Approved count of employees to be assigned to an operating unit.
approved travel request	The approved travel authorization (TA) document for the requested TDY or entitlement travel.
asset disposal	Record of disposal of property includes: -- Identification of property disposed -- Means of disposal -- Recipient of title transfer (if any) -- Proceeds of sale (if any)
assignment nomination cable	A cable from the Human Resources Office in USAID/W informing missions of the assignment of an employee to a post.
authorization	The authorization for the obligation of travel funds and for the actual travel.
capitalized asset depreciation	Information reporting on the depreciation of capitalized property.

Name	Description
capitalized property value	Value of property originally classified as capitalized, $25K or greater in monetary value, adjusted for annual depreciation.
cobra report	The COBRA form is based on the Consolidated Omnibus Budget Reconciliation Act and includes fuel consumption, maintenance costs, other indirect costs, and acquisition information. The form is forwarded to by the USAID Budget Office to the Office of Management and Budget (OMB).
collocation waiver	A request to locate a US Government facility in a host country outside of the embassy compound.
commitment document	Commitments are an (optional) stage before an obligation. They help to anticipate future procurement awards and obligations (JFMIP CFS Requirements). A commitment document includes: requisition number requestor identification purpose accounting classification (estimated) dollar amount date
consumption	Record of consumed expendable personal property.
currently available property	Personal property that is currently in the inventory.
custody property	Personal property delivered directly into the custody of USAID to be held by USAID until such time as consumed, disposed of, or transferred to another entity.
disapproval	The formal disapproval of any step in the obtaining of real property.
embassy space assignment	An assignment of office space in the embassy compound, if available. This information is updated in the RPMS.
equipment/furniture assignments	The assignment of equipment and furniture to real property. For functional property, equipment includes personal computers, phone, etc. For residential property, equipment includes applicances.

Name	Description
final disposition of property	Specification as to the manner in which any program property remaining at the close of an award will be disposed (e.g., transferred to host country government, sold, etc.).
financial performance status	Actual financial information reflecting all Agency transactions (events that change USAID financial position). Actual amounts available, committed, obligated, and expended reflecting all transactions at all accounting control system (ACS) levels. This data may be for the current year or any prior year, as requested.
funding data	Information from the post gaining the employee regarding the specific travel fund to which the employee's entitlement travel should be charged, and confirming sufficient funding in the account. In USAID, the missions manage their own travel funds (i.e. maintain subsidiary ledgers).
housing profile	The residential portfolio needed to support the staff planned for an operating unit. Residential property is assigned to each position based on grade and family size in accordance with the Department of State worldwide housing standards.
initial value of assets	Value of personal property when acquired and placed under property management control.
inventory value	The value of capitalized and non-capitalized inventory based on physical counts, unit prices and cost flow.
issuance/transfer	Record of issuance/transfer of property. Includes: -- Identification of property item issues -- Person or Organization to whom property item is issued. -- Location to which property item is issued. -- Location from which property was tranferred.
lqa	Monetary allowance for living quarters in a host country.
lqa expense justification	The employee must supply a living quarters allowance justification if the expense exceeds the ceiling amount. This information may be provided on standard form 1190.
lqa request	Request for authorization of living quarters allowance.
maintenance report	A report containing fuel consumption, maintanance costs and other indirect costs. This report

Name	Description
	states annual cost of USAID motor vehicle fleet. This information may be provided on standard form 82.
non-custody property	USAID-titled property held by partners. This is generally program property to be tracked until its useful life is depleted, or until contract termination or transfer of title.
notification of receipt	A record documenting that ordered materials were received. This may require the information in the event of a multiple-part shipment, or a handwritten notation on the acquisition document, where the order is received in a single shipment. Receiving reports are in English, indicate item cost in U.S. currency, and have any damage or discrepancies noted. Report may include owner of item, procurement document number, receiving report number and date, and method of acquistion.
obligation document	Obligations are transactions made during a given time period that will require payment during the same or a future time period (JFMP CFS Requirements). An obligation document includes the following data: obligating document number and type vendor ID accounting classification referenced commitments dollar amount date period of validity
personal belongings request	An employee's request to the Agency regarding transportation, storage, and retrieval from storage of personal belongings.
personal property	Any property exclusive of real property. including non-expendable residential furniture and equipment and all other personal propery items consting $100 or more exclusive of shippping, packing and storage costs. Also, unused warehouse or stockroom inventory of property meeting this description. Information including property description, make, model, serial number, date accepted, owner, historical cost, bar code, location, condition, service code, object class, classification, useful life, maintenance, and repairs.
personal property item	An item of USAID accountable personal property, whether custody property or non-custody property, including non-expendable residential furniture and equipment and all other personal propery items

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Name	Description
	consting $100 or more exclusive of shippping, packing and storage costs.
personnel record	An employee's history with USAID, including: · employee identification · employee location · employee organization · eligible family member coverage · dependent health insurance · medical clearance · travel · education overseas - leave - life Insurance - retirement benefit - beneficiary - employee allowance - assignment - authority - benefits (health, life, retirement) - collateral duty - contribution - counseling session - disability event - disability event witness - diversity information (confidential) - evacuation information - promotion nomination - retirement contribution - training - non-sensitive data - separation - tenure recommendation - pay level (pay) - leave - work objective

Name	Description
	. work evaluation
planned TDY travel	An employee's plan for travel, providing the information needed to document a requested travel authorization.
planned entitlement travel	Plans for travel to which the employee is entitled by virtue of Agency assignment. Entitlement travel is travel provided by the Agency to an employee stationed at a USAID mission, and includes relocation to the mission site, rest and recreation travel, home leave travel, and emergency travel. A single request for entitlement travel may cover the employee and the employee's spouse and dependents.
post concurrence	Concurrence by the post gaining the employee that the assignment is accepted and entitlement travel is authorized.
procurement document *	commitment document + decommitment document + obligation document + deobligation document
property	Personal property delivered into the custody of USAID.
property action	Property issuance/transfer + consumption + asset disposal
property asset accounting data	The portion of acquisition cost that is attributed to the property asset. Acquisition cost is the cost of the property plus any transportation charges, handling and storage costs, labor and other direct or indirect costs (for goods produced or constructed), and outside services for design, plans, or specifications, billed from sources other than the vendor. (ADS, Chapter 534)
property issued/transferred	Personal property assigned by an issue or transfer to an employee. Record of issuance/transfer of property includes: --Identifcation of property item issues --Person or organization to whom property item is issued --Location to which property item is issued --Location from which property was tranferrred
psc travel authorization	A completed travel authorization fund submitted by a PSC for Agency program-funded or contract-funded travel.

Name	Description
real property location	The address of functional or residential property.
reassignment	An alternate residential property assignment granted on acceptance of an employee's appeal.
redistribution	The information pertaining to the redistribution of a non-expendable personal property item, including title transfer information as appropriate. A redistribution does not involve a monetary transaction.
replacement needs	Personal property that needs to be replaced because it has met it's useful life as defined in the regulations or will meet it's useful life within the next procurement cycle.
request for travel authorization	The requested TDY or entitlement travel, documented in the form of a travel authorization (TA), USAID Form AID 5-8.
requested entitlement travel	A request for entitlement travel by a Foreign Service employee to a funding post.
requisition	An order or request for goods or services.
rpms input	Database update to the Real Property Management System.
sale	The information pertaining to the sale of a non-expendable personal property item, including title transfer information as appropriate.
schedule information	Information includes planning/tracking maintenance, record of usage and patterns of vehicles, expenses including fuel, and schedule of drivers.
ship/receive directive	Directive to ship personal goods approved for transportation, or to receive and deliver goods for an employee returning to Washington from an assignment. The directive includes information necessary for making transportation arrangements.
space needs	The office space required to support the staff planned for the operating unit, determined by space standards by position category. Appropriate warehouse space and parking facilities are also included in space needs.
staffing strategy	Count of employees to be assigned to an operating unit.

Name	Description
store/retrieve directive	List of personal goods approved for storage, or requested for retrieval from storage, including information necessary to the actual storage or retrieval.
transportation arrangements	Description of property to be shipped, destination, dates, and other information pertinent to the arrangement of transportation.
transportation status	Status of shipment of personal goods via Despatch Agents.
travel authorization	Information for performing official travel and incurring related expenses. Each travel authorization (TA) must specify the purpose of travel, the authorized points of departure and final destination, and expenses each traveler is authorized to incur whether the Government is to pay related expenses directly or reimburse an employee for expenses already incurred. USAID form 5 8 must be used. (ADS 522).
travel reports	Any reports or responses to questions regarding the nature or extent of travel that the Agency has funded.
travel roll-up	Agency travel information rolled up by reporting criteria across any category of travel or Agency organization as required for reporting purposes.
travel voucher	The employee's record of actual expenses for the travel and lodging. Under current policy a traveler must file a travel voucher within five business days of the completion of a trip or every 30 calendar days of an extended trip (ADS Section 577.5.3). Travel vouchers are submitted by the employee to an approving official who sends the voucher to FM for payment. The Agency (i.e. the funding organization within the Agency) must provide payment to the traveller within 30 days.
unmet space needs	Those functional property needs that cannot be provided within the embassy compound.
vehicle information	Information includes vehicle type, description, serical number, acquisition cost (foreign currency and US dollars), expected life, disposal costs, and shipping costs.
vehicle records	Records relating to USAID motor vehicles on hand and held directly by USAID.

Business Support Services – Data Flow Definitions

Name	Description
vendor/web site	USAID Web Site
	Vendor info and Payment Status
	USAID Web Site
	Provide Payment Information to Vendors. Extract Payment Data and send to Web Site Server

Business Support Services – Data Store Definitions

Name	Description
authorized travel	Historical records of all Agency-funded travel, consisting of the information provided via travel authorization forms and the travel vouchers.
fleet	The fleet database includes the following data: -- vehicle type -- description -- serial number -- acquistion cost -- expected life -- disposal cost -- shipping cost -- maintenance/repair -- fuel cost -- storage cost -- usage
goods in storage	List of all goods placed in storage for all Agency employees who have requested such storage, with pertinent information as to location of storage, dates of storage and retrieval, etc.
usaid property	USAID accountable personal property, including nonexpendable residential furniture and equipment and all other personal properly items costing $100 or more exclusive of shipping, packing and storage costs. USAID property also Also includes unused warehouse or stockroom inventory. A unique set of bar code asset numbers are generated across all locations to record USAID property information. Property records consist of: -- property description -- make -- model -- serial number -- date accepted -- historical cost -- owner -- fund source -- location

Name	Description
	-- steward
	-- condition
	-- resource category
	-- product service code
	-- object class
	-- federal supply classification
	-- useful life
	-- depreciation and residual value
	-- maintenance and repairs

Business Support Services – Process/Actor Definitions

Name	Description
Acquisition and Assistance	The USAID business area through which the Agency purchases goods and services and administers contracts, grants, and procurement policies.
Approve Property	Approval to purchase or lease office property must be approved by State Department Security, FBO (Federal Business Office), and M/AS/OMS (Management/Administrative Services/Overseas Management Support).
Approve Travel Authorization Request	Approve the requested travel authorization as being necessary, efficient, in accordance with policy, and covered within the funding organization's travel allowance. Obtain appropriate bureau and country clearances. The approval results in a commitment of funds through the Agency's financial system.
Approving Official	An individual empowered to commit funds against the travel budget allowance for an organization. At a mission, this is generally the Controller. In USAID/W, this is a generally a designated individual within the bureau.
Arrange Entitlement Travel	Make the necessary arrangements and obtain concurrence for travel to which a Foreign Service employee is entitled as a condition of employment. Ensure that the travel is charged to appropriate funding source. For the assignment of an employee to a mission, USAID/W Human Resources sends out assignment nomination cables to posts overseas. The gaining post concurs with the nomination and provides funding data to the post where the employee is presently located. That post prepares the request for travel authorization. If the employee to be reassigned is currently located in USAID/W, Human Resources prepares the request for travel authorization. For other types of entitlement travel, such as rest and recreation, home leave, and emergency visitation, the request is handled entirely within the employee's current post (the funding post). Refer to ADS Chapter 523.
Assign Functional Property	Assign real functional property to an operating unit.
Assign Residential Property	Assign real residential property to an employee (staff member) and the employee's family.
Authorize Allowance Request	Authorize an allowance for living quarters. If annual lease costs are greater than $25K, then the allowance must also be approved by M/AS/OMS (Management/Administrative Services/Overseas

Name	Description
	Management Support) and Financial Management.
Authorize Travel	Review the final travel authorization, ensure that any deficiencies are addressed, and authorize the travel. The authorization results in an obligation of funds.
Authorizing Official	An individual authorized to obligate funds for travel. At a mission, this is generally the Executive Officer. In USAID/W, this is a designated individual in the Division of Travel and Transportation.
Barcode/Store Property	A hand held bar code reader will input and verify property data to up load in the property management system. The bar code reader will be seamless, no conversion of data formats to update the application. When receiving property, the following data must be captured: -- bar code -- catalog number -- purchase order number -- serial number -- location -- custodian -- organization -- location in warehouse -- time of scan -- initials of scanning officer
Budget	The USAID business area through which the Agency plans and allocates its financial resources, formulates and justifies a budget for submission to the Office of Management and Budget (OMB) and Congress, and distributes the appropriated budget to operating units and programs for execution.
Business Support Services	The business support services area is a group of small semi-independent business areas. They include travel and transportation, property management, and security administration.
Control Personal Property	Control USAID personal property, including issuing and transferring property, tracking capital assets, tracking motor vehicles, tracking expendable property consumption, inventorying USAID custody property, tracking non-custody USAID property, and disposing of nonexpendable property that is no longer needed.

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Business Support Services – Process/Actor Definitions

Name	Description
Department of State	United States Department of State.
Determine Embassy Compound Availability	Determine if space is available at the US Embassy. When identifying functional space needs, the local embassy compound must be checked first for available space. If space is available at the embassy, it will be assigned for use. Only if there is no space available at the embassy will separate functional property will be identified.
Determine Housing Profile	This process is not performed at new missions where housing profiles have not been established.
Dispose of Non-Expendable Property	Track the disposal of non-expendable items, by entering the bar code of items being disposed and generating disposal reports. At time of disposal, bar code will scan the following: -- bar code -- disposal code -- comments
Employee	A person who performs authorized work under direct supervision in exchange for compensation and benefits directly from USAID.
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Funding Post	The post (mission or organizational unit in USAID/W) that is paying for the travel. In the case of a reassignment this is generally the gaining post. In the case of emergency leave or R&R travel, it is generally the post at which the employee is currently stationed.
GSA	The US Government General Services Administration
GSO	The US Government General Services Office
Generate Fleet Report	Generate reports required by the US Government on the Agency's motor vehicle fleet, consolidating data from all operating units.
Human Resources	The USAID business area through which the Agency recruits and trains its workforce, administers employee actions such as evaluations and promotions, establishes the compensation and benefits of

Name	Description
	employees, and makes payroll transactions.
IAHB	Inter-Agency Housing Board
Identify Functional Space Needs	Identify the needs of office space, parking lots, warehouses and other real property to support the administrative needs of the operating unit and stratregic objectives.
Identify Real Property	Identify the real property in a host country that can potentially meet functional or residential needs. This process includes both existing real property and/or potential real property that may be leased or purchased. If property is disapproved for use, identify alternate property.
Inspect Real Property	Inspect real property, including a space inspection by the GSO, General Service Officer, and a security inspection by the RSO, Regional Security Officer. If property fails inspection, disapprove the property for use by USAID.
Inspect Security	The RSO, Regional Security Officer, performs a security inspection of the property according to the residential/functional security standards.
Inventory Property in Custody	Conduct regular inventory of USAID personal property, interfacing with financial management system for valuing the property inventory. This process compares items recorded in the USAID property data store with items actually on hand at the designated locations. The process identifies items in the data store but physically missing, items scanned by bar code reader but not recorded in the data store, items with inconsistent location data, and items with duplicate bar codes.
Issue/Transfer Property	The act of assigning or transferring USAID personal property to a person who is appointed by, works for, or receives compensation from USAID, either on a full-time or part-time basis. When tranferrring property to another location, the following data must be captured: -- car code -- organization code -- location -- custodian -- changed in custodian name -- time of scan -- initials of scanning officer

Name	Description
Lease/Purchase Property	Obtain the required property. Once real property (functional or residential) has been approved, the property is leased by the owner or purchased by USAID. If the property is already leased to USAID, modify the current lease on property to update the time period and/or interval length of lease, change of occupants, and any other pertinent lease information.
M/Bud	The USAID Budget Office, part of the Management Bureau.
Maintain Real Property	Any real property owned by USAID must be maintained. Maintenance information (ie. new roof, new addition, plumbing repairs) must be updated in to the Department of State REMS datebase.
Maintain Records	Maintain records of vehicle type, description, serial number, acquisition cost (foreign currency and US dollars), expected life, disposal costs, and shipping costs.
Manage Agency Travel	Manage the arrangement and execution of all Agency-funded travel in accordance federal travel regulations and Agency policy. Reference policy is found in ADS section 522.
Manage Functional Property	Obtaining and controlling real property for office space, parking lots and warehouses.
Manage LQA	Obtain and control real property for employees using the Living Quarters Allowance (LQA). LQA is provided in host countries for which the US Government does not maintain a housing profile (i.e., does not own or lease property). An employee obtaining LQA is responsible for locating and leasing or otherwise obtaining residential space. Authorization for LQA is obtained from HR. If annual lease costs are greater than $25K, then the allowance must also be approved by M/AS/OMS (Management/Administrative Services/Overseas Management Support) and Financial Management.
Manage Personal Property	Obtaining and controlling personal perpoperty, including furniture, motor vehicles, and other non-real property.
Manage Real Property	Obtaining and controlling real property, including buidings, homes, and land.
Manage Residential Property	Obtaining and controlling real property to be used as homes (living quarters) for USAID employees and families.
Manage Transportation and Storage	Manage the transportation and storage of the personal belongings of Agency employees assigned to overseas posts. Agency Foreign Service employees assigned overseas are allowed to take with them

Name	Description
	or have the Agency store their personal belongings, up to a weight limit of 18,000 gross pounds. This process applies only to US direct hires. Any transportation arrangements the agency may make for personal services contractors employed at missions are handled directly between the contractor and the contracting mission.
Measure Space	The GSO,General Service Officer, will measure space of real property and compare against Residential/Functional space standards.
Obtain Personal Property	The receipt, acceptance, and recording of USAID personal property.
Pack and Transport Belongings	Make arrangements for transportation of personal belongings and track status until belongings are delivered and accounted for. The USAID TT Office currently uses the State Department's STATS system to manage the transportation process: prepare packer authorizations, generate bills of lading, track shipments and arrival dates, etc. This is the same system that US Despatch Agents use. The TT Office logs into the STATS system and has access to the Despatch Agent database. USAID may also track with vendors to provide doot-to-door service. In all cases USAID tracks the status through to delivery or receipt and resolves any problems that may develop.
Partner	A partner can be a host country, host country counterpart, institutional contractors, non-direct-hires of USAID, NGO (nongovernmental organization), or PVO (private volunteer organization).
Personal Services Contractor	Contractor personnel that appear to be Government employees as administered by the express terms of the personal services contract.
Prepare Travel Authorization Document	Document an employee's planned travel arrangements formally as a requested Travel Authorization (USAID Form AID 5-8). The employee may prepare the documentation or it may be prepared by the executive office (for an employee at a mission) or Bureau (for an employee in USAID/W) on behalf of the employee. See ADS Section 522.5.2.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and tracks the results.
Property Management	The USAID business area through which the Agency tracks and controls both real and personal property, where personal property includes both expendable and non-expendable property.

Name	Description
Provide Scheduling	Schedule vehicles for maintenance, record usage patterns of vehicles, record expenses including fuel, and maintain a schedule of drivers. This process is performed at each operating unit that maintains a fleet of one or more motor vehicles.
RSO	Regional Security Office
Receive/Inspect Property	Process of receiving and inspecting delivered personal property, both custody and non-custody, based on acceptance criteria.
Recipient	A person or organization that receives/purchases disposed nonexpendable personal property from USAID (including other US government entities).
Report on Agency-Funded Travel	Report to Agency management on the nature and extent of Agency-funded travel. This information is often required for purposes of responding to Congressional questions. The travel information may need to be rolled up across the Agency by various reporting categories such as travel type, purpose, and region. These reporting categories may change with time.
Requestor	USAID employee or employee of another federal or nonfederal organization, who requests and receives property.
Residential and Functional Property	The processes in this area apply to both the management of residential and functional real property.
Security Administration	Business processes related to physical security of USAID employees and facilities, personal security investigations, information security, and inspection/assistance activities.
Store/Retrieve Belongings	Track all employee personal goods held in storage by USAID. Storage is typically provided by commercial storage facilities. The TT Office uses Agency personnel records as the basis for tracking, and records the property stored and location of storage for each employee. Personnel records provide the names and locations of those US direct hire employees who are eligible for transportation of goods.
Track Capital Assets	Tracking changes in the value of property initially valued at $25K or greater and with a life expectancy of two years or more. The financial mangement system will record amortiztion and

Name	Description
	depreciation based on information from the property management system.
Track Expendable Property Consumption	Provides tracking of supplies and low unit cost items (e.g. toilet paper), to include check-in and check-out of items.
Track Motor Vehicles	Tracking motor pool fleet management, and direct and indirect costs associated with managing a motor vehicle fleet.
Track Non-Custody USAID Property	Track USAID-titled property held by partners, generally program property. This property is to be tracked until its useful life is depleted or until contract termination, or until title to the property is transfered. At a minimum, the information tracked includes the item description, quantity, and purchase value.
Track PSC Travel	Track all Agency-funded travel by personal services contractors (PSCs). Travel may be funded either within the PSC contract or separately through program funds. If funded within the contract, the funds are regarded as already having been committed and obligated. The contractor is responsible for ensuring that the contract has sufficient funds to cover the proposed travel -- if not, it is the contractor's liability. The contractor must submit a completed travel authorization form to USAID so that the Agency USAID can track the travel and submit the required paperwork to the Agency's travel agent.
Travel and Transportation	The travel and transportation business processes manage, track, and report on temporary duty (TDY) travel, entitlement travel such as home leave and rest and recreation, and transportation or storage of an employee's personal belongings.
US Despatch Agent	Office or person responsible for forwarding all US government property to overseas personnel.
USAID/OMS	The USAID Overseas Management Support office, a part of the Management Bureau (M/AS/OMS).
USAID/W Management	Central agency and bureau management and planning staff, located in Washington D.C.
USAID/W Only	USAID Washington Only
Validate Request	Validate that the requested transportation or storage is in accordance with policy. The employee must have a valid travel authorization in order to have goods transported or stored. The sum of

Name	Description
	the weights of transported and stored goods cannot exceed a weight limit of 18,000 gross pounds under current policy.
Vendor	A vendor is a person, company, or affiliate that provides goods or services to USAID.

Appendix G. Human Resources

Appendix G shows the architecture diagrams and accompanying data dictionary for the Human Resources business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Each diagram in this list depicts two or more lower level processes and the data flows between them, as well as the data flows between the processes and external entities. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8050. Compensation and Benefits (Decomposition)

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                          │ Compensation and Benefits│
                          └─────────────────────────┘
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          ┌───────────────────────────┼───────────────────────────────┐
  ┌──────────────┐              ┌──────────┐                  ┌──────────────────┐
  │ Compensation │              │ Benefits │                  │   Generate OPM   │
  └──────────────┘              └──────────┘                  │Transaction Reports│
                                                              └──────────────────┘
                                                          (note: added to BAA processes)
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Provide Pay Increase	Provide Award	Provide Allowance	Record Property Issued	Employee Benefit	Evacuation Services
		(Not Applicable for Civil Service)			(Not Applicable for Civil Service)

Budget Award Pool

Establish Award Guidance

Nominate Award

Approve Award

Provide Workman Compensation

Provide Health Insurance

Provide Life Insurance

Provide Retirement

Provide Workplace Enviroment

Compensation and Benefits
(Decomposition)
SA/2001
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Human Resources
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G-3

Diagram 8030. Employee Administration (Decomposition)

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                              │  Employee Administration │
                              └─────────────────────────┘
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Employee Placement	Evaluate Employee Performance	Promotion, Tenure and Standards	Employee Relations	Separation	Labor Relations
		(Not Applicable for Civil Service)		(Not Applicable for Civil Service)	

Evaluate Employee Performance
- Prepare Work Objectives
- Approve Work Objectives
- Evaluate Midcycle Performance
- Evaluate Work Objective
- Approve Evaluation

Promotion, Tenure and Standards
- Nominate Employee
- Identify Board
- Convene Board
- Evaluate Employee Nomination
- Approve Employee
- Evaluate Select-out Option

Employee Relations
- Take Performance Based Action
- Discipline Employee
- Process Grievance
- Process EEO Complaint
- Attempt Informal Resolution
- Establish Acceptability of Complaint
- Conduct Formal Investigation
- Make Final Agency Decision
- Appeal Decision
- Issue Award

Separation
- Identify Separation Reason
- Determine Prior Service
- Determine Retirement Contribution
- Identify Separation Option
- Approve Separation
- Dispose of Personal Record

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┌──────────────────────────┐
│  Employee Administration  │
│      (Decomposition)      │
│         SA/2001           │
│  Wed Feb 16, 2000  16:44  │
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│          8030             │
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G-4

Diagram 8031. Employee Placement (Decomposition)

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┌──────────────────┐ ┌───────────────┐ ┌───────────────┐ ┌──────────────┐
│ Identify Position│ │Recruit Employee│ │Assign Employee│ │Record PSC    │
│   Opportunity    │ │                │ │               │ │   Hires      │
└──────────────────┘ └───────────────┘ └───────┬───────┘ └──────────────┘
                                                │
                                        ┌───────────────┐
                                        │Announce Vacancy│
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                                        │Identify Employee     │
                                        │   Preference         │
                                        └───────┬─────────────┘
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                                        ┌─────────────────────┐
                                        │Evaluate Position     │
                                        │   Candidate          │
                                        └───────┬─────────────┘
                                                │
                                        ┌───────────────┐
                                        │Approve Candidate│
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                                        ┌───────────────┐
                                        │Select Candidate│
                                        └───────┬───────┘
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                                        ┌───────────────┐
                                        │Transfer Employee│
                                        └───────┬───────┘
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                                        ┌───────────────┐
                                        │Receive Employee│
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Employee Placement
(Decomposition)
SA/2001
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───Comment───
Human Resources
───Diagram Numbe───
8031

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Diagram 8000. Human Resources Management (Decomposition)

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 ○ ● ○  │          ○ ● ○   │            ○ ● ○       │          ○ ● ○   │
┌───────────────┐ ┌─────────────────┐ ┌───────────────────────┐ ┌─────────┐
│   Workforce   │ │    Employee     │ │    Compensation and   │ │ Payroll │
│  Management   │ │  Administration │ │        Benefits       │ │         │
└───────────────┘ └─────────────────┘ └───────────────────────┘ └─────────┘
```

┌─────────────────────────────────┐
│   Human Resources Management   │
│   (Decomposition)   │
│   SA/2001   │
│   Wed Feb 16, 2000 14:47   │
│ ──────────Comment────────────   │
│   Human Resources   │
│ ──────Diagram Number────────   │
│   8000   │
└─────────────────────────────────┘

Diagram 8060. Payroll (Decomposition)

```
                          ┌─────────────────────┐
                          │       Payroll       │
                          └──────────┬──────────┘
              ┌──────────────────────┴──────────────────┐
   ┌──────────┴───────────────┐              ┌───────────┴──────────┐
   │ Record and Approve Time  │              │   Calculate Payroll  │
   │       and Attendance     │              │                      │
   └──────────┬───────────────┘              └──────────────────────┘
        ┌─────┴──────────────────────┐
 ┌──────┴────────┐          ┌─────────┴──────────┐
 │ Produce Reports│          │ Produce Disbursements│
 └──────┬────────┘          └────────────────────┘
   ┌────┴──────────────────────────┐
 ┌─┴──────────┐        ┌───────────┴──────────────────────┐
 │ Pay State  │        │ Update Employee Salary Information│
 │   Taxes    │        │                                  │
 └────────────┘        └──────────────────────────────────┘
   ┌───────────────────────────────┐
 ┌─┴──────────────────────────────┐
 │ Update Payroll Production Parameters │
 └────────────────────────────────┘
   ┌───────────────────────────────┐
 ┌─┴──────────────────────────────┐
 │     Produce Year-end products   │
 └─────────────────────────────────┘
```
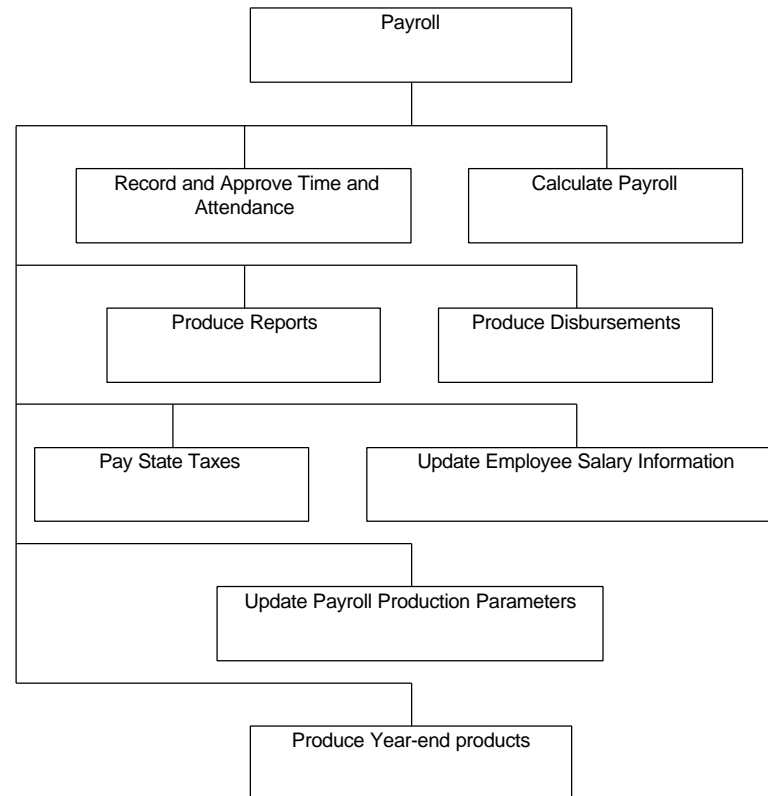
Payroll (Decomposition)
SA/2001
Wed Feb 16, 2000 17:18
──────Comment──────
Human Resources
──────Diagram Number──────
8060

G-7

Diagram 8010. Workforce Management (Decomposition)

Workforce Management

Workforce Planning
- Analyze Organizational Structure
- Position Management
- Determine Staffing Strategy
- Approve Staffing Strategy
- Identify Promotion Opportunity

(Not Applicable for Civil Service)

Workforce Development
- Mentor Employee
- Provide Learning Event
- Counsel Workforce
- Develop Learning Strategy

Classification
- Determine Position Classification
- Approve Position Classification
- Develop Classification Standard

Manage Policy
- Approve Regulation
- Develop Regulation
- Interpret Regulation

Workforce Diversification
- Determine Diversity Requirement
- Monitor Workforce Composition (Affirmative Action)
- Maintain Confidential Minority Status Information
- Determine and Maintain Diversity Strategy

Workforce Management
(Decomposition)
SA/2001
Wed Feb 16, 2000 16:17
——— Comment ———
Human Resources
——— Diagram Number ———
8010

Diagram 8053. Benefits

Employee

request

request

locator information

5.3.2.1 Employee Benefits

benefits

employee

evacuation information

5.3.2.2 Evacuation Services

benefit status

(Not applicable for cs or fsn)

salary action

5.4 Payroll and 5.3.3 Generate OPM Transaction Reports

salary action

5.3.2. Benefits (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 17:16
———Comment———
Human Resources
——Diagram Number——
8053

Diagram 8014. Classification

Note: For some positions/grades, classification is done only in USAID/W.

USAID/W only

policy

classification standard

Department of State

fsn standards

organization

5.1.3.1 Determine Position Classification

5.1.3.3 Develop Classification Standard

position

position classification

cs standards

5.1.3.2 Approve Position Classification

position classification

Office of Personnel Management

5.1.3. Classification (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 14:50
----Comment----
Human Resources
----Diagram Numbe----
8014

position classification

policy

G-10

Diagram 8051. Compensation

5.2.4.5
Issue Award

award pool

rank-grade

allowance

monetary award information

(Not applicable for cs or fsn)

5.3.1.1 Provide
Award

5.3.1.2 Provide Pay
Increase

5.3.1.3 Provide Allowance

request

salary action

salary action

5.4 Payroll
and
5.3.3 Generate OPM
Transaction Reports

salary action

approval notice

Employee

lqa request

5.3.1. Compensation
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 17:09
——Comment——
Human Resources
——Diagram Numbe——
8051

5.3.1.4 Record Property
Issued

lqa

Property
Management

property issued/transferred

property issued/transferred

employee

G-11

Diagram 8005. Compensation and Benefits

Boxes and flows:

- rank-grade
- award pool
- allowance
- Property Management
- 5.2.4.5 Issue Award
- Employee
- locator information
- employee
- 5.3.1 Compensation
- 5.3.2 Benefits
- 5.4 Payroll
- 5.3.3 Generate OPM Transaction Reports
- 5.2.4.1 Take Performance Based Action
- Office of Personnel Management

Flow labels:

- request
- approval notice
- request
- benefit status
- salary action
- salary action
- salary action
- salary action
- salary action
- property issued/transferred
- monetary award information
- note:added to BAA processes
- salary action
- opm transaction report

5.3. Compensation and Benefits
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 17:15
——Comment——
Human Resources
——Diagram Numbe——
8005

Diagram 8003. Employee Administration

5.1.1.4 Approve Staffing Stratgey — staffing strategy →

Operating Unit Management — assignment →

Acquisition and Assistance — personal services contract employees →

5.2.1 Employee Placement

application → **Job Applicant**

advertisement →

assignment ↓

employee

assignment nomination cable

Travel and Transportation
(Business Support Services)

personnel record

assignment, vacancy announcement, bids

Appraisal Committee   **Line Manager**

5.2.2 Evaluate Employee Performance

evaluation

Employee

5.2.5 Separation

Acquisition and Assistance

USAID Manager

select-out

employee

Employee

Supervisor — award recommendation →

Knowledgeable Person — award recommendation →

Evaluation Board — board award recommendation →

5.2.4 Employee Relations

5.2.3 Promotion, Tenure, and Standards
(Not applicable for Civil Service or FSN)

position   promotion opportunity

5.2.6 Labor Relations

grievance

labor agreement

Labor Organization

salary action

monetary award information

5.2. Employee Administration
(OMT Data Flow)
SA/2001
Fri Feb 18, 2000 14:59
— Comment —
Human Resources
— Diagram Number —
8003

5.3.1.1 Provide Award

5.3 Compensation and Benefits

5.4 Payroll

G-13

Diagram 8035. Employee Placement

USAID/W only

5.1.1 Workforce Planning

staffing strategy

5.2.1.1 Identify Position Opportunity

opportunity

opportunity

5.2.1.2 Recruit Employee

personnel record

assignment

5.2.1.3 Assign Employee

vacancy announcement

Employee

assignment

bid

5.1.5 Workforce Diversification

diversity strategy (cs and fs only)

minority status (cs and fs only)

employee

application

advertisement

Job Applicant

assignment approval

assignment nomination cable

5.2.1. Employee Placement (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:58
Comment
Human Resources
Diagram Numbe
8035

Acquisition and Assistance

personal services contract employees

5.2.1.4 Record PSC Hires

assignment

Operating Unit Management

certification

Travel and Transportation

(Business Support Services)

personal services contract employees

G-14

Diagram 8041. Employee Relations

performance improvement plan

5.2.4.2 Discipline Employee

5.2.4.1 Take Performance Based Action

response to disciplinary event

performance action

personnel record

salary action

salary action

5.3 Compensation and Benefits

5.4 Payroll

note: grievances and allegations of discrimination are not necessarily the result of disciplinary actions

Employee

grievance

5.2.4.3 Process Grievance

personnel record

list of open grievances

list of open complaints

employee

award record

award recommendation

Knowledgeable Person

USAID/EOP Office Only

discrimination allegation

allegation processing results

hearing/appeal decision

5.2.4.4 Process EEO Complaint

personnel record

decision

Evaluation Board

cs and fs employees only

5.2.4.5 Issue Award

board award recommendation

5.2.4. Employee Relations (OMT Data Flow)
SA/2001
Fri Feb 18, 2000 13:25
————Comment————
Human Resources
———Diagram Number———
8041

monetary award information

5.3.1.1 Provide Award

Supervisor

award recommendation

G-15

Diagram 8033. Evaluate Employee Performance

employee work objectives

5.2.2.1 Prepare Work Objectives

work objectives

5.2.2.2 Approve Work Objectives

work objectives

Line Manager

employee evaluation

Employee

Not applicable to FSNs

Appraisal Committee

evaluation

5.2.2.3 Evaluate Midcycle Performance

midcycle evaluation

evaluation

performance evaluation

5.2.2.5 Approve Evaluation

objectives evaluation

5.2.2.4 Evaluate Work Objective

employee input

Employee

Line Manager

5.2.2. Evaluate Employee Performance
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 14:53
─────Comment─────
Human Resources
─────Diagram Number─────
8033

G-16

Diagram 8000. Human Resources Management Business Area

Department of State	foreign service information	
US Treasury Department	salary and allotment	
Other government and financial bodies	payment information	
EEOC	diversity reports / eeoc requirements	
Office of Personnel Management	diversity reports / periodic opm reports / opm directives	

5 Human Resources Management

○ ● ○

- personal services contract employees → Acquisition and Assistance
- skill requirements → Program Operations
- payroll-fm data → Financial Management
- lqa staffing strategy → Property Management
- lqa request / property issued/transferred
- (Business Support Services)
- personnel record / assignment nomination cable → Travel and Transportation
- (Business Support Services)

Human Resources Management Business Area (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:13
──────── Comment ────────
Human Resources
──────── Diagram Numbe ────────
8000

G-17

Diagram 8001. Human Resources Management Processes

G-18

Diagram 8044. Issue Award

G-19

Diagram 8015. Manage Policy

USAID/W only

5.1.4.1 Develop Regulation

→ regulation →

policy

← regulation ←

5.1.4.2 Approve Regulation

regulation ↓

5.1.4.3 Interpret Regulation

Employee

Line Manager

5.1.4. Manage Policy (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 14:55
----Comment----
Human Resources
----Diagram Number----
8015
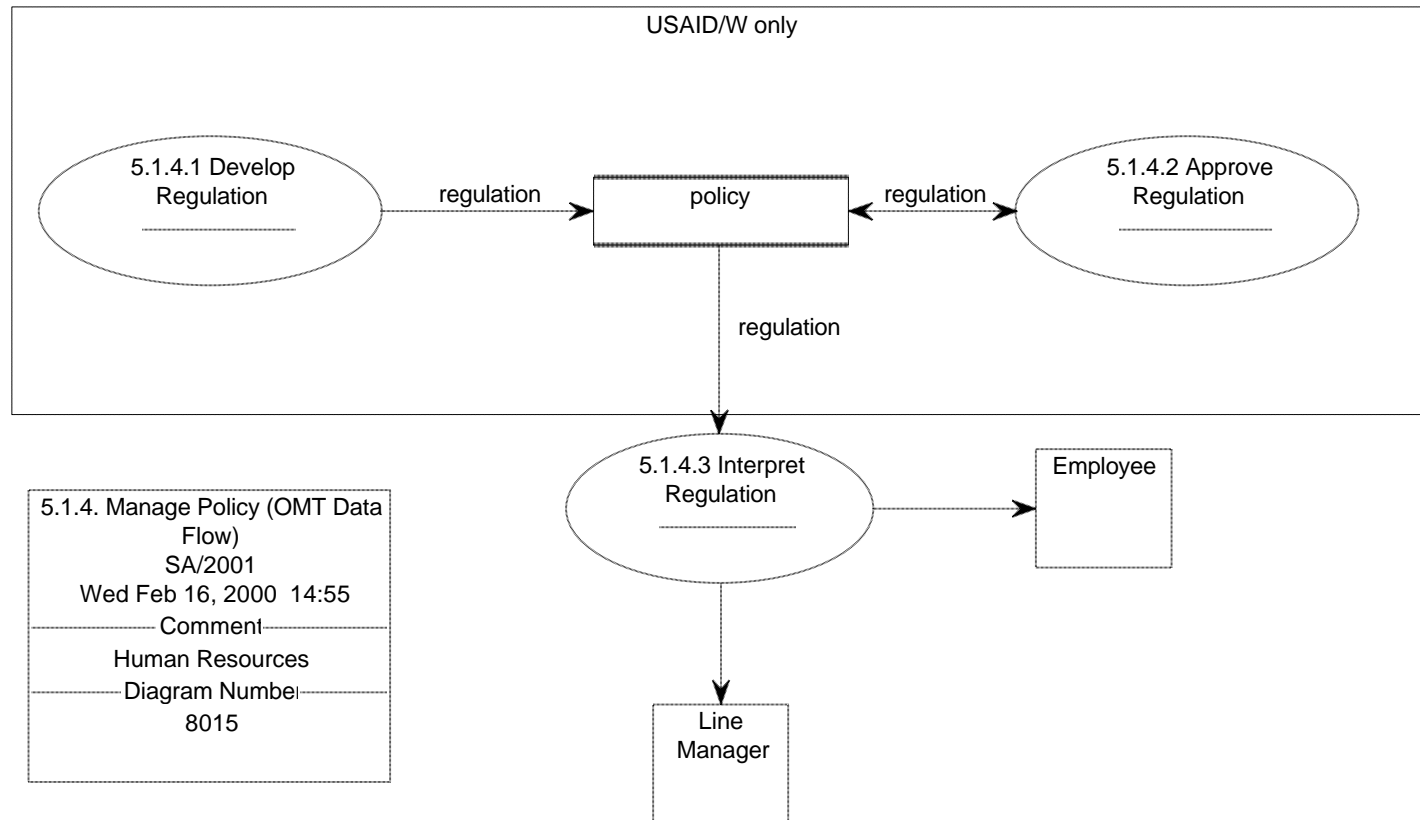
Diagram 8070. Payroll
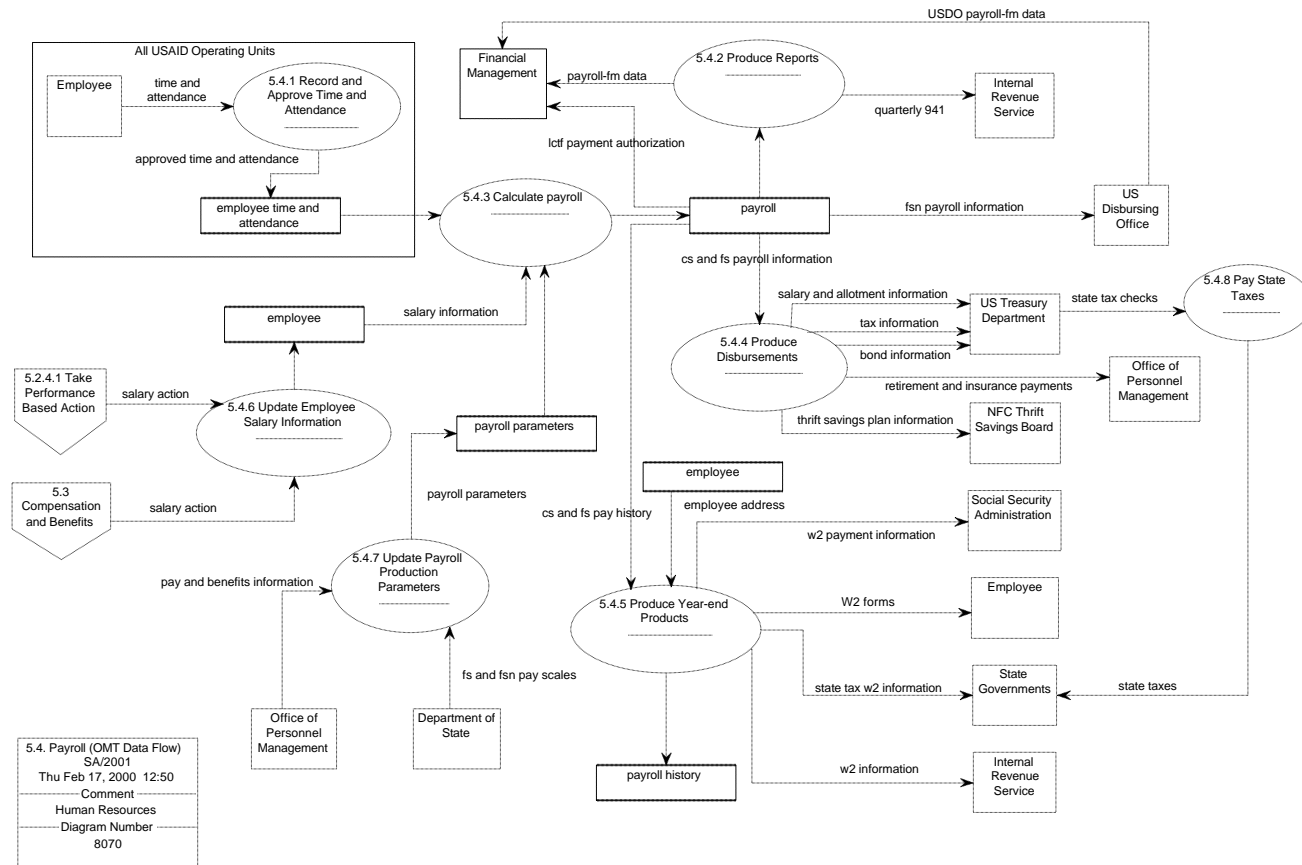
Diagram 8043. Process EEO Complaint

USAID/W only

EEO counselor → counseling → 5.2.4.4.1 Attempt Informal Resolution

list of open complaints

5.2.4 Employee Relations

list of open grievances

employee

personnel record

5.2.4.4.1 Attempt Informal Resolution → complaint → 5.2.4.4.2 Establish Acceptability of Complaint → accepted complaint → 5.2.4.4.3 Conduct Formal Investigation

counselor's report

discrimination allegation

dismissed complaint

complaint investigation report

complaint investigation report

hearing preference

decision

Employee

5.2.4.4.4 Make Final Agency Decision

decision

appeal

5.2.4.4.5 Appeal Decision

Appeal may be made to EEOC and/or federal district court

5.2.4.4. Process EEO Complaint
(OMT Data Flow)
SA/2001
Thu Feb 17, 2000 13:59
———Comment———
Human Resources
Not applicable to FSNs
———Diagram Numbe———
8043

G-22

Diagram 8034. Promotion, Tenure and Standards

USAID/W only

Appraisal Committee

5.2.3.1 Nominate Employee

5.2.3.2 Identify Board

5.2.3.3 Convene Board

position

Evaluation Board

promotion opportunity

promotion nomination

evaluation

Employee

5.2.3.6 Evaluate Select-Out Option

5.2.3.4 Evaluate Employee Nomination

5.2.3.5 Approve Employee

select-out candidate

promotion list

tenure

merit-step increase

select-out

Performance Standard Board

5.2.5 Separation

employee

promotion

5.2.3. Promotion, Tenure and Standards
(OMT Data Flow)
SA/2001
Wed Feb 16, 2000 18:17
─────Comment─────
Human Resources
Applicable for Foreign Service only
─────Diagram Numbe─────
8034

G-23

Diagram 8042. Separation

Acquisition and Assistance

fsnpsc separation reason

5.2.5.1 Identify Separation Reason

5.2.3 Evaluate Selection Out Option

select-out

separation reason

USAID Manager

USAID/W only

5.2.5.2 Determine Prior Service

5.2.5.5 Approve Separation

Employee

employee

5.2.5.3 Determine Retirement Contribution

5.2.5.6 Dispose of Personnel Record

5.2.5.4 Identify Separation Option

5.2.5. Separation (OMT Data Flow)
SA/2001
Thu Feb 17, 2000 14:36
-------Comment-------
Human Resources
-------Diagram Number-------
8042

G-24

Diagram 8011. Workforce Development

Individual Level

employee

learning event records

5.1.2.3 Counsel Workforce

5.1.2.2 Develop Learning Strategy

staffing strategy

5.1.1.2 Determine Staffing Strategy

career plan

learning event

training

training attendance

Agency Level
USAID/W only

5.1.1.4 Approve Staffing Strategy

learning event

Employee

counseling session

training request (sf 182)

5.1.2.4 Provide Learning Event

staffing strategy

mentor request

5.1.2.1 Mentor Employee

position

5.1.2.5 Develop Learning Strategy

5.1.2. Workforce Development (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:39
----Comment----
Human Resources
----Diagram Number----
8011

mentor assignment

employee

agency learning strategy

G-25

Diagram 8016. Workforce Diversification

USAID/EOP Office Only

5.1.5.2 Determine Diversity Requirement

eeoc requirements

diversity goal

EOP defines the diversity strategy and monitors its implementation.

diversity goal

organization

EEOC

diversity reports

5.1.5.1 Monitor Workforce Composition (Affirmative Action)

diversity status

5.1.5.3 Determine and Maintain Diversity Strategy

Office of Personnel Management

confidential minority data

5.1.5.4 Maintain Confidential Minority Status Information

diversity strategy (cs and fs only)

employee

Note: employee database provides information on US direct hires and US personal services contractors, and tracks training participation.

minority status (cs and fs only)

5.1.5. Workforce Diversification (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:29
--------Commen--------
Human Resources
Not Applicable to Foreign Service Nationals and FSN PSCs
--------Diagram Numbe--------
8016

5.2.1.2 Recruit Employee

USAID/W HR

5.2.1.2 Recruit Employee

promotion opportunity

HR implements the diversity strategy as it carries out routine HR processes, and provides feedback to EOP.

G-26

Diagram 8002. Workforce Management

Program Operations

organization

promotion opportunity

5.2.1 Employee Placement

○ ● ○
5.1.1 Workforce Planning

skill requirements

staffing strategy

Property Management

(Business Support Services)

staffing strategy

○ ● ○
5.1.2 Workforce Development

employee

position

Department of State

○ ● ○
5.1.3 Classification

fsn standards

cs standards

promotion opportunity

organization

diversity goal

classification standard

○ ● ○
5.1.4 Manage Policy

regulation

policy

Employee

Office of Personnel Management

organization

USAID/W only

○ ● ○
5.1.5 Workforce Diversification

5.1. Workforce Management (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:32
Comment
Human Resources
Diagram Number
8002

diversity reports

eeoc requirements

EEOC

diversity strategy (cs and fs only)

minority status (cs and fs only)

5.2.1.2 Recruit Employee

G-27

Diagram 8012. Workforce Planning

5.1.1.1 Analyze Organizational Structure

skill requirements

(Business Support Services)
Property Management

Program Operations

5.1.2.5 Develop Learning Strategy

staffing strategy

organization

5.1.1.2 Determine Staffing Strategy

staffing strategy

USAID/W only

5.1.1.3 Position Management

position

5.1.1.5 Identify Promotion Opportunity

staffing strategy

5.1.1.4 Approve Staffing Strategy

(Not applicable for Civil Service or FSN)

staffing strategy

staffing strategy

5.1.1. Workforce Planning (OMT Data Flow)
SA/2001
Wed Feb 16, 2000 16:38
Comment
Human Resources
Diagram Number
8012

promotion opportunity

5.2.1 Employee Placement

5.1.2.5 Develop Learning Strategy

G-28

Diagram 8032. Employee Placement

Operating Unit   USAID/W   Employee

Identify Promotion Opportunity (staffing strategy)

Identify Position Opportunity: Validate, need to recruit

Recruit Employee (advertisement)

Recruit Employee (application)

Recruit Employee (assignment)

Employee Placement
(OMT Event Trace)
SA/2001
Thu Sep 23, 1999 10:59
———Comment———
Time runs vertically down
the page. Arrows represent
data flows between
actors/business areas, and
processes involving more
than one actor.
——Diagram Number——
8032

Identify Position Opportunity: Validate, reassignt employee

Assign Employee (vacancy announcement)

Assign Employee (bid)

Assign Employee (certification)

Assign Employee (approval)

Assign Employee (assignment: SF50)

Data Dictionary

Human Resources – Data Flow Definitions

Name	Description

HR-FM Data	This flow contains several flows that are further decomposed:
	    Information on Personal Services Contractors.
	    Aggregated payroll
	    Labor Cost reports

R4	Results Review and Resource Request
USDO payroll-fm data	Information on funds paid to FSN employees
W2 forms	Yearly statement of earnings provided to US employees for filing with Federal and local tax returns.
accepted complaint	A complaint, filed by an aggrieved individual, which the EOP office has determined is an acceptable filing according to regulations and which is scheduled for formal investigation.
advertisement	The advertisement of a job opportunity to the general public.
allegation processing results	The results of the Agency's processing of the alleged discrimination. Results could include: - dismissed complaint - complaint investigation report - decision
allowance request	Request for authorization of living quarters allowance.
appeal	The appeal by an employee of a USAID EOP decision.
application	Application received in response to an ADVERTISEMENT.
approval notice	Notification to an employee that a REQUEST has been approved.
approved time and attendance	Time and Attendance information that has been checked and is to be submitted for the payroll run.
assignment	The association of an employee with a position.

Name	Description
assignment approval	Approve the filling of a position with a USAID employee in which no promotion is involved.
assignment nomination cable	A cable from the Human Resources Office in USAID/W informing missions of the assignment of an employee to a post.
assignment, vacancy announcement, bids	Composite data flow composed of three possible flows: assignment, vacancy announcement or bid
award information	Cash award is for Senior Foreign Service employees only.
award recomendation	A recommendation for an award for an employee, from the employee's supervisor or other knowledgeable person.
award recommendation	A recommendation for an award to an employee.
award record	The type of award and other information specific to the award. Awards may be monetary or non-monetary.
benefit status	Status of benefits currently being provided to EMPLOYEE.
benefits	A service or entitlement provided by a USAID ORGANIZATION to its EMPLOYEES. Includes leave, disability, insurance, beneficiary records, retirement contribution, and retirement benefit.
bid	The bid submitted by a USAID EMPLOYEE in response to a vacancy announcement: an application for the position.
board award recommendation	A recommendation for an award for a FS employee from the Evaluation Board.
bond information	Information sent from payroll to the US Treasury Department for purchase of savings bonds by employees through the savings bond program.
certification	Confirmation of employee assignment,
classification standard	A standard governing the classification of positions.

Name	Description
complaint	A formal (written) allegation of discrimination. An employee may file a complaint in response to any personnel action. Complaints may be raised in other situations as well. A complaint is written when informal mediation has failed.
complaint investigation report	The results of the formal investigation into a complaint, documented prior to the final USAID decision regarding the resolution of the complaint.
confidential minority data	Information regarding the minority status of an employee, which must be kept confidential in the employee's records. Minority status information includes: -- race -- color -- disability -- gender Note: National origin is not generally tracked, but if an employee has filed a complaint in which national origin could be a factor, EOP may need to track this information for the affected employee(s).
counseling	Counseling in an attempt to resolve an alleged act of discrimination informally.
counseling session	The occurrence of a meeting between an EMPLOYEE and another EMPLOYEE or PERSON to discuss the EMPLOYEE's CAREER PLAN, COMPLAINT, DISCIPLINARY EVENT, etc. The purpose of the meeting is to advise, guide, and to create a plan of action.
counselor's report	A written report from the EEO counselor submitted if no informal resolution can be reached within the mandatory time limits.
cs and fs pay history	The pay history for CS and FS employees, for reporting purposes.
cs and fs payroll information	Payroll information for Civil Service and Foreign Service employees.
cs pay scales	OMB provides the salary ranges for Civil Service pay grades.
cs standards	Classification standards for the Civil Service.

Name	Description
decision	The final decision on behalf of USAID regarding the resolution of the complaint and specifying any personnel actions to be taken by the Agency.
discrimination allegation	An allegation by a USAID employee of an incident of unlawful discrimination. The allegation is informal. If informal resolution fails, the employee may submit a formal written complaint.
dismissed complaint	A complaint that the USAID EOP office determines is not a valid filing.
diversity goal	The Agency's goal in complying with EEO/Affirmative Action legal requirements or in creating a workforce that is representative of the national civilian labor force
diversity reports	Reports on the Agency's compliance with EEO/Affirmative Action legal requirements, including data comparisons against plans, and listing objectives for the next work year.
diversity status	Information on the Agency's diversity profile provided by EOP to the USAID HR Office and USAID management, via reports or responses to queries.
diversity strategy (cs and fs only)	The Agency's course of action to fulfill EEO/Affirmative Action legal requirements, in order to establish and maintain a working environment representative of the national civilian labor force.
eeoc requirements	Requirements for determining those Agency objectives that will achieve workforce diversity and ensure equal opportunity in all aspects of personnel management.
employee address	Address to which the employee's W2 form should be sent.
employee evaluation	An evaluation of the employee's performance during the rating period.
employee input	Information from the employee related to the employee's attainment or non-attainment of a work objective.
employee performance information	Composite flow composed of employee evaluation or employee work objectives.
employee work objectives	Objectives that the employee should meet in his/her work.

Name	Description
evacuation information	Information needed in case evacuation services are required, including EMPLOYEE location and eligible family members.
foreign service information	Information on Foreign Service and Foreign Service National classification, standards, and pay scales.
fs and fsn pay scales	The Department of State provides the pay ranges for the Foreign Service personnel, and FSN off-the shelf compensation packages for FSNs and FSN PSCs pay rates.
fsn payroll information	Payroll information provided to the US Disbursing Office for payment of foreign nationals.
fsn standards	Classification standards for Foreign Service Nationals (USAID adapts CS standards to Foreign Service USAID employees).
fsnpsc separation reason	The reason an FSNPSC is being separated: this may be for cause or for the convenience of the government.
grievance	(1) Individual grievance covered by the USAID grievance process: A request by an employee, or by a group of employees acting as individuals, for personal relief in a matter of concern or dissatisfaction relating to the employment of the employee(s) which is subject to the control of USAID management, except as provided by exclusion. (ADS Chapter 490) 2. A grievance falling under the provisions of a negotiated agreement, in particular, the Foreign Service Grievance System. The AFSA represents agency FS employees filing grievances. The Agency adheres to the policies and essential procedures of the Foreign Service Grievance System as defined in the US government Foreign Affairs Manual (see ADS 486).
hearing preference	The employee's decision as to whether to request a hearing on the complaint (certain types of complaints have limited options regarding hearings).
hearing/appeal decision	The employee's decision as to how to respond to the results of the Agency's processing of the discrimination allegation, including; -- hearing preference -- appeal

Name	Description
labor cost reports	USAID payroll costs in various formats for use by Budget: by organization, by organization within budget plan code, total costs.
lctf payment authorization	Authorization for payment to FSN to be made from local currency trust funds.
learning event	An instructional activity provided for the purpose of enhancing the QUALIFICATIONSs of the workforce or for providing awareness on topics of interest to the Agency.
learning event records	Records of attendance at instructional activities provided for the purpose of enhancing the qualifications of the workforce or for providing awareness on topics of interest to the Agency.
list of open complaints	A list of all open complaints that have been filed with EOP by USAID employees. The list does not include the content of the complaints.
list of open grievances	A list of all open grievances that have been filed with the HR office by USAID employees. The list does not include grievance content.
lqa	Living Quarters Allowance
lqa request	Living Quarters Allowance request
mentor assignment	The assignment of a mentor to an employee.
mentor request	An expressed desire for formal and/or informal training by a mentor or counselor.
merit-step increase	A pay increase within grade, applied for meritorious job performance.
midcycle evaluation	Corporate assessment of performance during the course of the rating cycle.
minority status (cs and fs only)	Information regarding the minority status of an employee, including: -- race -- color -- disability -- gender

Name	Description
monetary award information	The type and amount of a monetary award.
number of contract employees	The number of contract employees at USAID.
objectives evaluation	Assessment of an employee's attainment or non-attainment of a work objective.
opm directives	Directives received from OPM. These consist of 1) Civil Service standards, and 2) pay and benefits information.
opm transaction report	Report to OPM on changes to an employee's status.
opportunity	An existing or future position and position type which is or will be vacant.
pay and benefits information	OPM provides the Government pay rates, names and deductions to be applied for health insurance, life insurance, and retirement.
payment information	Insurance and retirement payments, thrift savings plan information, W2 payment information.
payroll parameters	Parameters used to compute employee's pay and deductions. These include such things as pay scales for Foreign Service, Civil Service, insurance carriers and rates, post differentials, agency codes, danger post post differential, and bond prices..
payroll-fm data	Payroll information sent to Financial Management. This includes: Payroll Accrual Salary Medical Benefits Leave FED-TAX transacitons (Federal, FICA, Medicare tax paymen) State Tax Payments Pay Advances
performance action	A personnel action which will be carried out in response to an Employee's substandard performance.
performance evaluation	A type of EVALUATION. An assessment of an EMPLOYEE's performance of specific duties.

Name	Description
periodic opm reports	Quarterly, yearly and other periodic reports required by OPM. This flow is composed of 1) pay and benefits information and 2) retirement and insurance payments.
personal services contract employees	Records of employees hired as personal services contractors (PSCs). USAID/W HR Office needs to know the number of long term contractors in each USAID-presence country. In general, the agency needs to maintain information on PSCs as well as direct hires for purposes of workforce planning and because of EEOC reporting requirements.
personnel record	An employee's history with USAID, including: · employee identification · employee location · employee organization · eligible family member coverage · dependent health insurance · medical clearance · travel · education overseas - life insurance - retirement benefit - beneficiary - employee allowance - assignment - authority - collateral duty - contribution - counseling session - disability event - disability event witness - diversity information (confidential) - evacuation information - promotion nomination - retirement contribution - training - non-sensitive data

Name	Description
	- separation - tenure recommendation - pay level (pay) - leave - work objective - work evaluation - awards
position	A specified grouping of duties and responsibilities that may be filled by one or more members of the core workforce.
position classification	The grade/rank a position is assigned based on the position description.
program plans	Resource requests for staffing.
promotion	A promotion to a higher grade.
promotion list	Ranked list of employees qualified for promotion.
promotion nomination	The nomination of a employee for promotion to a higher grade.
property issued/transferred	Personal property assigned by an issue or transfer to an employee. Record of issuance/transfer of property includes: --Identifcation of property item issues --Person or organization to whom property item is issued --Location to which property item is issued --Location from which property was tranferrred
purchase request	A request for the acquisition of training services, materials, etc.
qualification	A learned talent or competence of interest fo USAID. Refers to knowledge, skills, and abilities possessed by a PERSON, and to degrees of certifications awarded for achievement or demonstrated competence. QUALIFICATIONs can be categorized as either professional (e.g., technical or language skills) or behavioral (e.g., interpersonal skills, leadership abilities, etc.)

Name	Description
quarterly 941	The employer's quarterly Federal tax return.
regulation	An Agency regulation or policy developed in response to a statuatory change or internal requirement.
request	Employee request for status information, benefits change, allowance, or use of allowed service. For Living Quarters Allowance, employee uses form SF 1190 to justify a living quarters expense that exceeds the ceiling amount.
response to disciplinary event	The actual response regarding a specific employee taken by USAID because of a directed performance action.
retirement and insurance payments	The Retirement and Insurance Transfer System (RITS) is used to send the retirement, health and life insurance payment information to OPM, which handles payments to these providers.
salary action	A change to an EMPLOYEE's compensation, including merit step increases, promotions, benefits, allowances, awards, and any other forms of compensation. A salary action is recorded on form SF-50.
salary and allotment	This information is used to produce payments to employees for salaries and allotments. It may result in printed checks or electronic deposits. It also contains information on bond purchases and taxes. It is composed of the data flows 1) salary and allotment information, 2) bond information, and 3) tax information.
salary and allotment information	This information is used to produce payments to employees for salaries and allotments. It may result in printed checks or electronic deposits.
salary information	This is the information used to determine the employee's pay: pay plan, grade/step, mandatory deductions, voluntary deductions, allowances, post differential, cash awards.
select-out	Employee ranked in bottom 5% of class for two consecutive years or more in process of evaluating promotion nomination for selection out (applies only to Foreign Service officers)
separation reason	The reason an FS, FSN or CS employee is being separated. CS and FSN employees may be separated for non-performance or for cause. An FS employee may be separated for cause. Other

Name	Description
	reasons for separation are voluntary separation, time in class, disability or incapacity, or death.
skill requirements	Skill requirements: Skills and knowledge (human resources) required to carry out activities in support of a Strategic Objective. Used in the Human Resources Workforce Planning business process to help direct human resources to areas where they are needed and to plan the Agency's acquisition of any skills and knowledge it is short of.
staffing strategy	A plan of action or method used to fill a vacant or potentially vacant position.
state tax checks	Checks for payment of state withholding to each state for which USAID withholds state taxes.
state tax w2 information	Employee's W2 forms sent to government taxing agency of employee's home state.
state taxes	Checks for payment of state withholding to each state for which USAID withholds state taxes.
tax information	Information to pay Federal taxes and state taxes.
tenure	Tenure granted to an employee by the Evaluation Board.
thrift savings plan information	The employee's payroll deduction for savings through the payroll Thrift Savings Plan.
time and attendance	Time and attendance record for each employee. Data is entered in the American Electronic Time and Attendance System (AETA) and transmitted to USAID/W via Cable Switch for employees in missions. This information is reported on an exception basis: only charges different from the employee's default work schedule need be entered. The missions are responsible for validating and correcting any errors in their T&A data.
training attendance	Attendance information for a specific employee at a learning event.
training request (sf 182)	A request for training submitted on Standard Form 182.
usaid/hr data	This composite data flow contains information that is only used by USAID in Washington.
vacancy announcement	An announcment to the EMPOYEES in the USAID workforce of a position vacancy.

Human Resources – Data Flow Definitions

Name	Description
voucher	A voucher for payment to an employee for special award, advance of pay, etc.
w2 information	Employee W2 forms sent to IRS.
w2 payment information	Employee's W2 form sent to Social Security Administration.
waiver	The relinquishment of a cap or restriction of the amount or use of funds.
work objectives	A goal that an EMPLOYEE needs to work toward or strive to achieve.

Name	Description
agency learning strategy	Strategy for enhancing the QUALIFICATIONs of the workforce or for providing awareness on topics of interest to the Agency, through instructional activity or other methods.
allowance	An entitlement of a specific allowance associated with the employee's assignment based on location, eligible family members, agency policy, etc.. For example, a payment such as an education allowance, housing allowance , etc., might be made to cover an expense related to an employee's assignment to a particular location. Includes: Allowance request Payment Disallowance with reasons
award pool	The total sum of money budgeted for monetary or non-monetary awards for superior achievement and/or contributions that result in tangible and/or intangible benefits or savings to USAID.
career plan	A personal program or scheme for development and future advancement of an EMPLOYEE. It is created by the EMPLOYEE in consultation with his/her supervisor and career development officer and schedules action steps to enhance the employee's knowledge, skills, and abilities. It.contains LEARNING EVENTs needed to effect improvement Relationships: Over time, an Employee may work out 0, or may work out M Career Plans; A Career Plan is developed for 1 and only 1 Employee.
complaint	A formal statement of dissatisfaction with a particular USAID Organization, Person, or Policy. Includes: - complaint - complaint finding - complaint resolution recommendation - complaint decision - complaint decision appeal - appeal response - other organization complaint
employee	A person who is appointed by, works for, or receives compensation from USAID, either on a full-

Name	Description

	time or part-time basis. The customary employee information plus the employee pay history for the current year. Includes:
	- employee type:
	  consultant
	  USAID Employee (direct hire), a person who is appointed by, works for, and receives compensation from USAID on a full-time, part-time or intermittent basis
	   personal services contractor
	   foreign service direct hire
	   general schedule
	   foreign service national including third country national
	   foreign service officer
	   personal services contractor
	- employee relationship
	  mentor
	  supervisor
	  spouse
	  eligible family member An employee's spouse or dependent child or adult
	personnel record, including:
	· employee identification
	· employee location
	· employee organization
	· eligible family member coverage
	· dependent health insurance
	· medical clearance
	· travel
	· education overseas
	- leave
	- life Insurance
	- retirement benefit
	- beneficiary
	- employee allowance
	- assignment
	- authority
	- benefits (health, life, retirement)
	- collateral duty

Name	Description
	- contribution
	- counseling session
	- disability event
	- disability event witness
	- diversity information (confidential)
	- evacuation information
	- promotion nomination
	- retirement contribution
	- training
	- non-sensitive data
	- separation
	- tenure recommendation
	- awards
	- pay level (pay)
	- withholding for taxes
	- leave
	- work objective
	. work evaluation
employee time and attendance	A record of hours worked and amount of leave charged by a USAID employee during a specified pay period. Includes an employee's chargeable hours duty hours for the workweek as well as for annual, sick or other leave type.
	- Workweek hours
	- Leave hours by type
	- Leave balance
	This data store includes the T&A information for all USAID employees (USAID/W and the missions).
evaluation	An assessment of employee performance for a specified evaluation period. Includes
	- work objectives
	- evaluation period
	- performance evaluation including the performance plan on which the rating is based
	- promotion nomination
	- report card
	- performance improvement plan
	- Selection Board Evaluation

Name	Description
	- Selection Board Nomination - Promotion Evaluation
labor agreement	A collective bargaining agreement with a labor union, or other negotiated agreement with an employee organization, concerning employment practices, compensation and benefits, grievance resolution, etc.
local compensation plan	A type of PAY PLAN. The plan takes into account laws that exist in the country or region of compensation.
locator information	The location (building, street, city or town, and state which indicated the physical location of the USAID employee, organization or position, or the destination to which mail might be addressed. - Facility Address - Organization Unit Address - Position Address - Employee Address
organization	The United States Agency for International Development (USAID) or a unit of USAID, or a logical and formally recognized group of PERSONs united in an administrative and functional structure to achieve a common goal, mission, or objective. Includes: - Organization Type USAID organization (structure) The United States Agency for International Development (USAID) or a unit of USAID Non-USAID Federal organization Non-Fed organization (Other Organization) Foreign government organization Team Team incentive - goal, including diversity goal - organization travel order - Resource Ceiling - Position Ceiling - Address - Fund Account

Name	Description
	- Organization Pay Level
payroll	The compensation and benefits given employees for services rendered during a specified time period.
payroll history	A copy of the payroll history for the calendar year. This data is written to microfiche and archived.
payroll parameters	Parameters used in the production of the payroll. These contain tables with the following information: -- health insurance -- life insurance -- optional life insurance -- appropriation codes for each agency -- bond denomination codes, purchase price and maturity value -- agency names, codes -- pay period dates, holidays -- salary rates for each pay plan, grade and step -- post differential rates -- capital and technical assistance codes -- state names -- Social Security Number ranges -- pay raise pay plan and authorization -- HR action codes -- Chief of Mission salaries -- occupation specialty codes and pay plan codes -- uncapped salary for thrift savings deductions -- danger pay post differential
performance improvement plan	A detailed scheme specifying the purpose, goals, objectives, priorities and activities to improve performance and scheduling action steps to enhance the empoyee's knowledge, skills, and abilities withing a specific time frame.
policy	A corporate communication which specifies that certain procedures or regulations are prescribed or prohibited. Includes:

Name	Description
	-- Regulation
	-- Cclassification standard
	-- Position classification
	-- Staffing Policy
	-- Change Request
	-- Waiver
position	A specified grouping of duties and responsibilities assigned by competent authority for performance by an USAID employee. (Can the position be filled by multiple members at the same point in time?) Includes:
	-- managing organization
	-- position advertisement
	-- advertisement target source
	-- position description
	-- position qualification¸ including skill, language…
	-- postcode
	-- authority
	-- interview (Is an interview always associated with a position?)
	-- position allotment--means of identifying the funds from which the incumbent is paid
	-- qualified employe
	-- position pay plan type (ex., Senior Executive Service, Senior Foreign Service, Consultant…)
promotion opportunity	The number of employees currently in grade versus the number of employees needed in a particular rank/grade for a particular backstop.
rank-grade rank/grade	The grade and step level of an EMPLOYEE. This currently corresponds to a PAY LEVEL for GS, FS, SES, and FSN employees.
training	Formal or informal programs of training, education, and or skill development conducted by, or through USAID or non-USAID personnel and facilities. An instructional activity provided for the purpose of enhancing the QUALIFICATIONs of the workforce or for providing awareness on topics of interest to the Agency. Includes:
	-- Course Training event conducted by, or through Government or non-government personnel
	-- Learning Event Evaluation

Name	Description
	-- Learning Event Prerequisite
	-- Location
	-- Registration
	-- Syllabus
	-- Vendor
	-- Qualification Learning Event
	-- Course
	-- Learning event schedule
	-- Mentor assistance

Human Resources – Process/Actor Definitions

Name	Description
Acquisition and Assistance	The USAID business area through which the Agency purchases goods and services and administers contracts, grants, and procurement policies.
Analyze Organizational Structure	Identify organizational function, location within agency hierarchy, resources available, structure and span of control.
Appeal Decision	Appeal an Agency decision on a complaint. After a decision on the complaint is rendered, the employee has two levels of appeal: US Equal Employment Opportunity Commission (EEOC), and Federal District Court (age-related complaints go directly to court).
Appraisal Committee	A comittee of USAID employees that approves the employee's work objectives and evaluates the employee's work performance.
Approve Employee	Authorize the promotion of an employee, after evaluation by the Evaluation Board.
Approve Evaluation	Appraisal Committee approves an evaluation of an EMPLOYEE.
Approve Position Classification	Authorize the grade/rank of a position based on the duties and responsibilities identified in the position description.
Approve Regulation	Authorize the establishment of an Agency regulation or policy.
Approve Separation	Authorize the separation of an employee from the Agency.
Approve Staffing Strategy	Authorize the staffing plan to be used in fulfilling projected agency human resource needs (skills required, position required, recruiting/position filling methods).
Approve Work Objectives	Appraisal Committee reviews and authorizes an employee's evaluation work objectives.
Assign Collateral Duty	Record the additional duties (duties other than those in an employee's position) to which an employee has been assigned. Examples include Appraisal Committee.
Assign Employee	Fill a position with a USAID EMPLOYEE in which no promotion is involved, and track all open and

Name	Description
	closed assignments.
Attempt Informal Resolution	Determine whether an informal resolution can be found to an alleged act of discrimination.Resolution may begin when an employee engages an EEO counselor. The counselor attempts resolution at the post or by long distance from another post or Washington. There are minimal documentation requirements. If no resolution is reached within the mandatory time limits, the employee may file a formal complaint, and the counselor files a report. If a resolution is reached, no complaint or report is filed and the counselor destroys any relevant notes.
Benefits	A service or entitlement provided by a USAID ORGANIZATION to its EMPLOYEEs.
Budget	The USAID business area through which the Agency plans and allocates its financial resources, formulates and justifies a budget for submission to the Office of Management and Budget (OMB) and Congress, and distributes the appropriated budget to operating units and programs for execution.
Calculate payroll	Compute payroll information from the time and attendance information, the salary information from the employee file, and the payroll parameters. Includes post differential, danger pay.
Classification	Develop and maintain position classifications.
Compensation	Provide pay increase, allowances and awards.
Compensation and Benefits	Compensate employees and provide benefits packages.
Conduct Formal Investigation	Formally investigate a complaint. The investigation can require gathering and analyzing large volumes of supporting information (personnel records, affidavits, etc.). These files must be held for the life of the complaint and retired on a specified schedule (3 or 4 years) after the complaint is closed.
Counsel Workforce	Provide formalized counseling support for employees. Counseling may support separation, tenure, entry, reassignment, promotion, selection out, low ranking, cerises, retirement, assignment, graduation from IDI (International Development Interim), crossover between specialty, etc. Counseling is conducted by an Agency Career Development officer or other authorized employee. Only non-sensitive employee data is available to the counselor.

Name	Description
Department of State	The United States Department of State.
Determine Diversity Requirement	Identify the needed workforce composition and equal employment opportunity objectives, through identifying and analyzing: 1) organizational barriers and regulatory requirements for affirmative action 2) workplace enviroment for indicators of cultural sensitivity and valuing diversity.
Determine Position Classification	Establish the grade/rank a position merits based on the position description.
Determine Prior Service	Analyze history of government employment including temporary, Peace Corps, other Agency, military and any other federal government employment to determine retirement eligibility, length of serivce, and basis for contribution.
Determine Retirement Contribution	Costing of retirement contributions to include deduction or non-deduction, deposits, refundings.
Determine Staffing Strategy	Establish which method will be used to fill a vacant or potential vacant position. Strategies include recruit a GS, FS, FSN, or USPSC; assign an existing employee, or contract for services.
Determine and Maintain Diversity Strategy	Determine which course of action will be pursued in order to: 1) fulfull EEO/Affirmative Action legal requirements for the American workforce; 2) create an environment whereby the global workforce values diversity and culturally diverse teams; 3) educate and train the workforce on EEO, Affirmative Action and sexual harassment legal requirements and sensitivity to the various cultures within which USAID works.
Develop Classification Standard	Establish the criteria which will be used in determining the grade/rank a position merits based on the position description. USAID adapts the CS standards to form the FS standards; FSN standards are taken from DoS.
Develop Learning Strategy	Establish which method will be used to provide a learning event to an employee or group of employees.
Develop Regulation	Determine the requirement for an Agency regulation or policy in response to a statutory change or internal requirement.

Name	Description
Discipline Employee	Carry out a personnel action against an employee in response to a disciplinary event.
Dispose of Personnel Record	Purge inappropriate documents or remove personnel record to appropriate storage place.
EEO counselor	A USAID employee who represents EOP on a collateral duty assignment, and who counsels employees and conducts informal resolution efforts on incidents of alleged discrimination. Counseling may also be done by a designated Department of State employee overseas.
EEOC	Equal Employment Opportunity Commission
EOP office	USAID/W Equal Opportunity Program Office
Employee	A person who performs authorized work under direct supervision in exchange for compensation and benefits directly from USAID.
Employee Administration	Provide employee placement, promotion, performance evaluation, separation, and relations.
Employee Benefits	Provide a service or entitlement to an employee, including life insurance, health insurance, Thrift Savings Plan, and retirement.
Employee Placement	Provide placement for employee's by assignment of existing employees or recruitment of new employees. Track all assigned employees by type (direct hire, US personal service contractor, interagency agreement, etc.).
Employee Relations	Provide performance-based action, discipline employee, make award to employee for meritorious service, process individual grievance, and resolve EEO complaint.
Equal Opportunity Program Office	The office in USAID responsible for supporting equal opportunity legislation.
Establish Acceptability of Complaint	Determine if a complainant is aggrieved under the governing regulations. In some cases EOP may dismiss the complaint for specified reasons. A complaint could be dismissed if the employee currently has a grievance pending in the HR office regarding the same issue. The EOP office must know whether an employee has filed a related grievance with HR, and the HR office must know if an employee filing a grievance has also filed a related complaint. The content of the complaint or grievance is not and must not be shared between the offices.

Name	Description
Evacuation Services	Provide emergency visitation travel, emergency evacuation, medical evacuation, and emergency locator.
Evaluate Employee Nomination	Assess a candidate's credentials
Evaluate Employee Performance	Assess the progress of an employee towards the work objectives and performance milestones set in the performance improvement plan.
Evaluate Midcycle Performance	Assess the progress toward work objectives and performance milestones established in an employee's performance improvement plan.
Evaluate Select-Out Option	Assess those employees ranked in bottom 5% of class for two consecutive years or more in the Evaluate Promotion Nomination process for recommendation for selection out. This process applies only to Foreign Service Officers.
Evaluate Work Objective	Assess an employee's attainment or non-attainment of work objective, behavioral skill, needs for improvement, and career development actions.
Evaluation Board	A board of USAID FS employees who evaluate FS employees for promotion, tenure, merit-step increase or select-out option. The EOP office is represented on the board.
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Generate OPM Transaction Reports	Generate reports for OPM as a result of a salary action affecting an employee.
Human Resources	USAID business area that supports position and ceiling management, staffing patterns, employee evaluations, promotions, assignments, emergncy location tracking, training, and merit pay.
Human Resources Management	The Human Resources business area of USAID.
Identify Position Opportunity	Identify an existing or future position and position type which is or will be vacant.
Identify Promotion Opportunity	Determine the number of Foreign Service Officers which will be promoted in the following promotion

Name	Description
	cycle.
Identify Separation Option	Calculate Retirement benefits including options and/or benefits available to potential retirees.
Identify Separation Reason	Determine the reason an employee is separating from the Agency. FS employees may be separated as a result of the Evaluation Board or for cause. CS and FSN employees may be separated for non-performance or for cause. Other reasons for separation are voluntary separation, time in class, disability or incapacity, or death.
Internal Revenue Service	The United States Internal Revenue Service.
Interpret Regulation	Grant a waiver for an existing Agency policy or regulation.
Issue Agency-wide Incentive Awards	Issue award in the Agency-wide Incentive Awards Program. The awards are given year-around. The award may also include a cash award. Recommendations are from a supervisor or other knowledgeable person.
Issue Award	Issue monetary and/or non-monetary award to employee.
Issue Bureau Performance Pool for OUs Awards	Issue awards for FS and CS employees based on supervisor's recommendation. Not for FSNs.
Issue FS Awards	Issue awards based on the Evaluation Board recommendation for the Foreign Service. Awards are Merit Step Increases for non-Senior FS employees, and cash awards for Senior FS employees.
Issue On-the-Spot Awards	Issue cash award for exceptional performance based on supervisor's recommendation. Awards may be issued year around.
Job Applicant	A person applying for an open position in USAID.
Knowledgeable Person	A USAID employee with knowledge of another employee's accomplishments that may merit an award.
Labor Organization	An organization representing a certain segment of the USAID workforce for purposes of collective bargaining, negotiations, and greivance resolution. USAID has agreements with two such organizations:

Name	Description
	1. The American Federation of Government Employees (AFGE) is a labor union representing the agency's civil service employees. USAID has a collective bargaining agreement with AFGE. 2. The American Foreign Service Association (AFSA) is a professional association of the U.S. Foreign Service officers. USAID has rolling negotiations with AFSA, and bargains over issues.
Labor Relations	Manage USAID's collective bargaining agreements (with AFGE) and rolling negotiations (with AFSA). Also covers the resolution of grievances filed by a labor organization on behalf of one or more members (negotiated grievance procedure and Foreign Service grievance procedure).
Line Manager	The direct supervisor of an EMPLOYEE. The Line Manager is the Rater for the EMPLOYEE's performance evaluation.
Maintain Confidential Minority Status Information	Record information regarding the minority status of an employee, and ensure that this information is kept confidential in the employee's records.
Make Final Agency Decision	Make the final decision for USAID regarding resolution of the copmlaint of alleged discrimination. The nature of the decision determines subsequent USAID actions; some decisions can result in personnel actions.
Manage Policy	Develop, document, and maintain USAID personnel policies and regulations, and provide interpretation of policies for employees and managers.
Mentor Employee	Provide informal counseling to an employee by another employee acting as a Mentor.
Monitor Workforce Composition (Affirmative Action)	Monitor the composition of the USAID workforce with regard to EEO/Affirmative Action legislation. The EOP Office uses the confidential minority data maintained in the pesonnel records to determine workforce composition. EOP generates several reports for EEOC and OPM. These reports are submitted on set schedules. The EEOC requires reports on the profile of US direct hire employees and US personal service contractors with respect to minority status information. In addition, EEOC requires that the Agency report training statistics by minority status. The EOP office also performs a number of ad-hoc queries against the personnel data in order to respond to questions, support the complaint resolution or appeal processes, etc.
NFC Thrift Savings Board	The administration of the Thrift Savings Plan, operated by the National Financial Center of the US

Name	Description
	Department of Agriculture.
Nominate Employee	Propose an employee for promotion to the next higher rand/grade or for tenure in the foreign service.
OPM	Office of Personnel Management
Office of Personnel Management	The Office of Personnel Management for US government employees.
Operating Unit Management	The management of a USAID operating unit.
Other government and financial bodies	Organizations that receive payment information from USAID. This includes 1) state government tax agencies, 2) NFC Thrift Savings Board, 3) the Internal Revenue Service, and 4) the Social Security Administration. The US Disbursing Office receives payroll information to pay FSNs and FSNPSCs in local currency.
Pay State Taxes	Treasury checks to pay the states for employee's withholding are sent to USAID/W Payroll, and then mailed to the states.
Payroll	Record time worked by agency employees, administer employee pay, track leave and benefits, and provide pay-related information to US and State government agencies and USAID employees.
Performance Standard Board	The Performance Standard Board may be a reconvening of the Evaluation Board.
Position Management	Identify Position Requirement, Identify Qualification Requirement, and Approve Position.
Prepare Work Objectives	Establish clear, measurable and realistic descriptions of substantive results to be achieved by an employee during rating period.
Process EEO Complaint	Counsel an employee who alleges an incident of discrimination, or attempt informal mediation. If necessary process the formal complaint and determine the final agency decision. Mediation may be utilized at any point in the EEO complaint process.
Process Grievance	Process an individual grievance under the Agency's grievance system. Includes Determine Complaint Acceptability, Investigate Complaint, and Resolve Formal Complaint. Note: negotiated grievances

Name	Description
	and grievances filed under the Foreign Service grievance system are handled through a labor relations process. An FS employee grieving an action can request prescriptive relief which will remain in effect until adjudicated.
Produce Disbursements	Produce tapes for check printing, EFT pay, and thrift savings plan deductions. Payroll uses the Federal Tax System to send information on Federal taxes to the Treasury Department. Payroll uses the Electronic Certifying System (ECS) to send information on State taxes to the Treasury Department.
Produce Reports	Produce reports for the IRS (Quarterly 941) and transactions for input to Financial Management.
Produce Year-end Products	Reads employee payroll history and produces year-end products for employees and external agencies.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and tracks the results.
Promotion, Tenure, and Standards	The increase in grade/rank of an employee, time in grade, and related standards.
Property Management	The USAID business area through which the Agency tracks and controls both real and personal property, where personal property includes both expendable and non-expendable property.
Provide Allowance	Request Allowance, Approve Allowance, Terminate Allowance. If the annual lease for living quarters exceeds the ceiling amount ($25,000), it must be approved by M/AS/OMS and by FM.
Provide Award	Budget Award Pool, Establish Award Guidance, Nominate Award, Approve Award. Not all awards are monetary; non-monetary awards are also recorded in the employee's records.
Provide Learning Event	Identify Learning Method, Design Learning Event, Present Learning Event, and Evaluate Learning Event. Note: Training is often supplied by contractors; contracting is performed by Acquisition and Assistance, when requested by HR.

Name	Description
Provide Pay Increase	Determine the increase of an employee's pay level.
Record PSC Hires	Record the personal services contractors (PSCs) employed by the agency, including US and foreign citizens. These employees are contracted by A&A.
Record Property Issued	Records the property issued or transferred to/from the employee by the Property Management business area.
Record and Approve Time and Attendance	Receive Time and Attendance (T&A) information from the employees at AID/W and the missions. Review for missing or erroneous T&A. When acceptable, release the biweekly T&A data for calculating the payroll. Produce reports on missing T&A information and grand total T&A hours. American Electronic Time and Attendance System (AETA) is used for entry of T&A information. This information is reported on an exception basis: only charges different from the employee's default work schedule need be entered. The missions are responsible for validating and correcting any errors in their T&A data. A 26 pay period history record is kept in AETA.
Recruit Employee	Acquire a new employee from outside USAID; includes advertising, processing applications, interviewing candidates, and making selections. The recruitment process is managed by the HR office and monitored by the EOP office.
Separation	Convert an employee from active to terminated or retired status.
Social Security Administration	United States Social Security Administration
State Governments	The government of states in which USAID EMPLOYEEs earn income. The primary states are Washington, D.C., Virginia and Maryland, but there are employees in other states as well. The state governments receive information on the salaries and benefits paid to USAID employees and payments of state taxes withheld.
Supervisor	Supervisor of an employee.
Take Performance Based Action	Take Performance Action and deny the employee a Within Grade Increase.
Travel and Transportation	USAID business processes supporting temporary duty travel, entitlement travel, and the transportation or storage of the personal belongings of an employee posted overseas.

Name	Description
US Disbursing Office	The US Disbursing Office provides services to pay foreign nationals in various currencies.
US Treasury Department	United States Department of the Treasury
USAID Management	Senior levels of US Agency for International Development management.
USAID Manager	A USAID manager with the authority to separate an employee.
USAID/W	United States Agency for International Development in Washington
USAID/W EOP	The Equal Opportunity Program office in USAID.
USAID/W HR	Human Resources in USAID Washington Headquarters
USAID/W only	US Government in Washington (activities involving USAID and other agencies located in Washington)
Update Employee Salary Information	Receive changes to employee's salary information from HR. These include changes to health benefits, insurance, other deductions, and advance of pay. Enter changes in employee file.
Update Payroll Production Parameters	Receive new values for pay ranges for CS and FS, and for amounts to be deducted for health plans, life insurance, retirement.
Workforce Development	Provide counseling to the employee in developing a career plan, and implement the plan in developing learning strategies, acquiring training and mentoring.
Workforce Diversification	Ensure that USAID complies with all legal requirements regarding a culturally diversified global Agency workforce and an environment which supports diversity.
Workforce Management	Provide planning for the workforce needed to support the Agency's operations, training for the workforce, classification of job positions, and develop and interpret regulations.
Workforce Planning	Provide planning for the USAID workforce by analyzing organizational structure, determining staffing strategy, identifying promotion opportunities and managing positions.

Appendix H. Financial Management

Appendix H shows the architecture diagrams and accompanying data dictionary for the Financial Management business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Tables H-1 and H-2 provide a mapping of external and internal data flows to the internal processes of FM, in lieu of data flows and definitions. Refer to the USAID internal and external interface tables in Appendix B for further clarifications of FM data items.

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Process Number	Process Name	Page No.
6	Diagram 8592. Financial Management Business Area	H-8

Diagram 8502. Accounts Payable (Decomposition)

**Financial Management
Accounts Payable**

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                        ┌─────────────────────┐
                        │ FMS - Accounts Payable │
                        └─────────────────────┘
        ┌──────────────────┬──────────────────┬──────────────────┐
┌───────────────┐  ┌───────────────┐  ┌───────────────┐  ┌───────────────┐
│ FMS - Maintain │  │ FMS - Record  │  │ FMS - Execute │  │ FMS - Confirm │
│ Accounts Payable│ │ Accounts Payable│ │  Payment     │  │  Payment      │
│ Information    │  │ Document      │  │               │  │               │
└───────────────┘  └───────────────┘  └───────────────┘  └───────────────┘
```

FMS - Input Payee Information

FMS - Maintain Principal Party 1099 Information

FMS - Maintain Recurring Payment Information

FMS - Register Accounts Payable Document

FMS - Approve Invoices Administratively

FMS - Schedule Payments

FMS - Compute Disbursements and Periodic Accruals

FMS - Ceritfy Payment Schedule by Certifying Officer

FMS - Process Non-Manual Payment Schedule Disbursement

FMS - Reconcile Disboursements

FMS - Search for Payee Information

FMS - Produce Reports

Accounts Payable
(Decomposition)
SA/2001
Wed Feb 16, 2000 18:23
─────Comment─────
Financial Management
─────Diagram Numbe─────
8502

H-2

Diagram 8504. Accounts Receivable (Decomposition)

**Financial Management
Accounts Receivable**

FMS - Accounts Receivable

FMS - Establish Accounts Receivable

FMS - Service Accounts Receivable

FMS - Process Collections

FMS - Monitor Accounts Receivable

FMS - Record and Post Non-Federal Bill On-line

FMS - Prepare Adjustments as Necessary

FMS - Process Non-Federal Bank Collections

FMS - Conduct Reconciliation

FMS - Generate Non-Federal Bill for Collection

FMS - Process Intra-Governmental Collection

FMS - Recognize Receivable Past Due

FMS - Manage Delinquent Debt

Accounts Receivable
(Decomposition)
SA/2001
Wed Feb 16, 2000 18:24
———Comment———
Financial Management
———Diagram Numbe———
8504

Diagram 8500. Financial Management (Decomposition)

Financial Management

```
                                    FMS
      ┌──────────┬──────────┬────────┴─────────┬──────────────┬──────────────┐
  ○●○           ○●○        ○●○               ○●○
FMS - General  FMS - Accounts  FMS - Funds    FMS - Accounts  Cost Accounting  Credit Program
Ledger         Payable         Management     Receivable                       Accounting

                                                                               Incorporated in
                                                                               General Ledger and
                                                                               Funds Management

FMS - Maintain   FMS - Maintain Accounts   FMS - Distribute      FMS - Establish
General Ledger   Payable Information        Budgetary Resources   Accounts Receivable

FMS - Process    FMS - Execute             FMS - Control         FMS - Service
Transactions     Payment                   Funds                 Accounts Receivable

FMS - Analyze    FMS - Confirm                                   FMS - Process
General Ledger   Payment                                         Collections

FMS - Generate   FMS - Record Accounts                           FMS - Monitor
Financial Reports Payable Document                               Accounts Receivable
```

```
Financial Mangement
(Decomposition)
SA/2001
Wed Feb 16, 2000  18:25
─────Comment─────
Financial Management
───Diagram Numbe───
8500
```

H-4

Diagram 8503. Funds Management (Decomposition)

**Financial Management
Funds Mangement**

```
                          ┌──────────────────┐
                          │   FMS - Funds    │
                          │   Management     │
                          └──────────────────┘
                    ┌─────────────┴─────────────┐
          ┌──────────────────┐         ┌──────────────────┐
          │  FMS - Distribute │         │  FMS - Control   │
          │ Budgetary Resources│        │     Funds        │
          └──────────────────┘         └──────────────────┘
                    │                             │
          ┌──────────────────┐         ┌──────────────────┐
          │  FMS -  Record   │         │ FMS - Obligate / De-│
          │ Budgetary Resources│       │  obligate Funds   │
          └──────────────────┘         └──────────────────┘
                    │                             │
          ┌──────────────────┐         ┌──────────────────┐
          │   FMS - Post     │         │ FMS -  Sub-obligate / De-│
          │  Apportionments  │         │   obligate Funds  │
          └──────────────────┘         └──────────────────┘
                    │                             │
          ┌──────────────────┐         ┌──────────────────┐
          │   FMS - Post     │         │  FMS - Commit / De-│
          │   Allotments     │         │   commit Funds    │
          └──────────────────┘         └──────────────────┘
                    │                             │
          ┌──────────────────┐         ┌──────────────────┐
          │   FMS -  Post    │         │ FMS - Sub-commit /│
          │   Allowance      │         │  Decommit Funds   │
          └──────────────────┘         └──────────────────┘
                                                  │
                                        ┌──────────────────┐
                                        │  FMS -  Perform  │
                                        │    Analysis      │
                                        └──────────────────┘
```

```
┌────────────────────────────┐
│    Funds Management        │
│    (Decomposition)         │
│        SA/2001             │
│  Wed Feb 16, 2000  18:25   │
│ ───────Comment───────      │
│   Financial Management     │
│ ──Diagram Number──         │
│         8503               │
│                            │
└────────────────────────────┘
```

## Diagram 8501. General Ledger (Decomposition)

Financial Management
General Ledger

FMS - General Ledger

FMS - Process Transactions

FMS - Analyze General Ledger

FMS - Maintain General Ledger

FMS - Generate Financial Reports

FMS - Record Transactions

FMS - Examine Transactions

FMS - Update SGL Accounts

FMS - Determine Reporting Criteria

FMS - Perform Closing

FMS - Perform Correcting Entries

FMS - Update Standard Transaction Codes

FMS - Produce Reports

FMS - Archive Data

FMS - Maintain Accounting Classification Structure

FMS - Maintain Recurring Entries, Monthly Accruals

General Ledger
(Decomposition)
SA/2001
Wed Feb 16, 2000 18:26
———— Comment ————
Financial Management
——— Diagram Number ———
8501

FMS - Maintain Exchange Rate Table

Diagram 8591. FM External Entities Interfaces

Financial Management Interfaces with External

Treasury Department
GOALS,
IRS
PAID
TOPS
CASHLIN
IGOTS
OPAC
EDIPA
Prime
* (Kansas City
Financial

DHHS
Payment
Managemen
System
(LOC Grants)

fm to dhhs

dhhs to fm

grant information

grant
* advances
* expenditures
* sf272 (adjustments)
* 5805 (unliquidated
* closeout

fm to treasury

reports (FACTS I, II; TROR,
payment schedule (SF
1099 (USAID,
vendor payment status

treasury to fm

payment updates
collections data
disbursement offset
icass bill (from State, via

6 Financial Management

General Ledger
* Credit Program Accounting
Funds Management
* Credit Program Accounting
Accounts Payable
Accounts Receivable
[Cost Accounting]

fin. inst. to fm

credit card activity
trust funds payment status
collection data

fm to fin. inst.

payment schedule
payment transaction
account receivable report

Financial

Automated
Credit Card
PAYLINK
Other Bank
Lockbox Services

State
Department

USDO
USDO/FS
ACS

fm to state

sf1166 payment schedule (to
psc data (to

state to fm

fms 80, SF 1221 (from
payment status / reconciliation (from
hr-fm data (from

vendor invoices (electronic)

vendor (edi) to fm

EDI

Vendor

Imaging

vendor invoices (paper)

vendor (hard copy) to fm

vendor/web site

USAID
WEB Site

FM / Web

vendor info & payment

fm to loan servicing

loan obligation
electronic fund transfer for
defaults

loan servicing to fm

loan collections, disbursements,
credit reform budgetary & proprietary
monthly, quarterly

USAID's
Servicing
Contractor

(Riggs Bank)
M&I Loan
Managemen
System

FM External Entities Interfaces
Data Flow)
SA/2001
Tue Feb 15, 2000
——— Comment ———
Financial
——— Diagram Number ———
8591

Diagram 8592. Financial Management Business Area

Financial Management
Interfaces with other USAID Business Areas

Program Operations

fm to ops
- acs
- financial performance status (current or prior years)
- unused prior year budget authority

ops to fm
- so activity structure

Budget

bud to fm
- oyb distribution data
- trust fund reports
- icass financial data **

fm to bud
- unused prior year budget authority
- financial performance status (current or prior years)
- icass financial data **

Human Resources (including Payroll)

hr to fm
- payroll - fm data

6 Financial Management

General Ledger
* Credit Program Accounting
Funds Management
* Credit Program Accounting
Accounts Payable
Accounts Receivable
[Cost Accounting]

fm to a&a
- vendor information
- financial performance status

a&a to fm
- payment authorization
- procurement document *
- closeout notification
- vendor information

Acquisition and Assistance

fm to trv
- financial performance status

trv to fm
- procurement document *

Travel and Transportation

(Business Support Services)

pm to fm
- initial value of assets
- asset disposal
- notification of receipt
- capitalized asset depreciation
- inventory value

fm to pm
- property asset accounting data

Property Management

(Business Support Services)

Financial Management Business Area
(OMT Data Flow)
SA/2001
Tue Feb 15, 2000 09:35

──Comment──

Financial Management

──Diagram Numbe──

8592

* procurement document = commitment document + decommitment document + obligation document + deobligation document

** icass financial data = icass service bill + icass service reimbursement + icass cost distribution

H-8

Data Dictionary

Name	Description
acs	Accounting Classification Structure defined within FM in accordance with JFMIP requirements. Knowledge of the ACS is required for setting up the SO activity structure.
asset disposal	Record of disposal of property includes: -- Identification of property disposed -- Means of disposal -- Recipient of title transfer (if any) -- Proceeds of sale (if any)
capitalized asset depreciation	Information reporting on the depreciation of capitalized property.
close-out notification	Notification to the Agency's financial managment business area that a given award has been fully closed out and that no more financial activity against it is to be forthcoming.
commitment document	Commitments are an (optional) stage before an obligation. They help to anticipate future procurement awards and obligations (JFMIP CFS Requirements). They help to assure that funds are available before entering into an obligation. When multiple instruments are awarded under a single agreement, the commitments for these instruments are called sub-commitments. A commitment document includes: requisition number requestor identification purpose accounting classification (estimated) dollar amount date
de-commitment document	De-commitments occur when there is a change in the acquisition scope or a reduction in the expected amount. It includes the following data: commitment ID amount date
de-obligation document	De-obligations occur when there is a change in the contract with a reduction of the obligated

Name	Description
	amount. It includes the following data:
	obligation ID
	dollar amount
	date
dhhs to fm	1. Detailed Transaction Level:
	- Advance Transactions
	- Expenditure Transactions
	- Original Obligation Amount
	- Adjustments to Obligation Balances (Expenditure Transaction SF272)
	2. 5805 Transactions (monthly weighted average unliquidated balance across appropriations)
	3. Grant Closeout Information
	Letter of Credit (LOC) Grant Transactions Outsourced to DHHS;
	1 Track LOC Balance;
	2. USAID uses pooling method for draw down (5805) transactions; 3. Reconcile General Ledger
fin. inst. to fm	1. Automated Credit Card Systems
	Purchasing Activity Information
	2. Local Bank System
	Updated Payment Status (From "Disbursement in Transit" to "Disbursed") via Bank Statement /
	Payment Records
	1. Automated Credit Card System Implemented with an Outside Financial Institution for Public
	Disbursements and Collections. Record General Ledger Transactions; Change General Ledger
	Accounts (line item level) for not-standard transaction purchases.
	2. Local Bank System
	USAID Processes Trust Fund Payment via Local Banks Worldwide. Update Payment Records
financial performance status	Actual financial information reflecting all Agency transactions (events that change USAID
	financial position). Actual amounts available, commited, obligated, and expended reflecting all
	transactions at all accounting classification system (ACS) levels. This data may be for the
	current year or any prior year, as requested.
fm to dhhs	Current Information Regarding Grantee (Grant Award, Recipient Organization, Banking Information)
	Extract Grant Information

Financial Managemet − Data Flow Definitions

Name	Description
fm to fin. inst.	1. Local Bank PAYLINK or Other Bank System
	Electronic Transmission of Payment Transactions and Payment Schedules Data
	2. Automated Credit Card Systems
	Credit Cards Payment Schedule
	1. Local Bank PAYLINK or Other Bank System
	USAID Processes Trust Fund Payment via Local Banks Worldwide. Format Schedules and Payments to meet PAYLINK or Bank constraints for foreign currency or dollar.
	2. Automated Credit Card Systems
	Automated Scheduling and Electronic payment to Financial Institution; Match Purchases to Obligation Documents; Process Credits from Vendors.
fm to loan servicing	1. Lockbox Services
	Daily report of account receivable (Unmatched accounts receivables)
	2. M&I Loan Management System
	Loan Obligation Data; Electronic Funds Transfer for Advances to cover anticipated defaults on guaranteed loans.
	1. Lockbox Services
	Financial Institutions make various kind of collections on behalf of USAID. Generate daily report of account receivable for billing office to provide information for follow-up on unmatched account receivables
	2. M&I Loan Management System
	Response to USAID's Loan Servicing Contractor Request for advances. Send Electronic funds transfer
fm to state	USDO
	Electronic Transmission of SF 1166 Data (Payment Transactions and Payment Schedules)
	Personal Service Contract (PSC)
	Vendor designated as "Employee"
	Process disbursements Produce W2
	USDO
	USAID Processes most Foreign Currency Payment via USDO. Format Schedules and Payments to meet USDO constraints (E.g., one foreign currency)
fm to treasury	1. GOALS
	Reports: 1) Monthly Statement of Transactions (SF 224), 2) Quarterly Report of Budget Execution

Name	Description
	(SF 133), 3) Year-End Closing Statement (FMS 2108), 4) Federal Agencies Centralized Trial Balance I (FACTS I - Proprietary Account Trial Balance), 5) Federal Agencies Centralized Trial Balance II (FACTS II - Budgetary Account Trial Balance), 7) Treasury Report on Receivables (TROR), 8) Reports on Guaranteed Loans (SF 220-8), and 9) Accounts Receivable Due from the Public (Schedule 9). 2. ECS System - Electronic Transmission of SF 1166 Data (Payment & Payment Schedules) 3. Treasury / IRS - USAID 1099 Data; Vendor's 1099 Data 4. Treasury Payment Advice Internet Deliver (PAID) - Vendor info and Payment Status 5. Intra-governmental Transfer System (IGOTS) - Payment Schedule
icass cost distribution	Determination by USAID/W of ICASS cost attributable to USAID bureaus and operating units.
icass financial data	ICASS service bill + ICASS service reimbursement + ICASS cost distribution
icass service bill	Notification of the receipt a bill of a given amount for services that the agency has used under an ICASS agreement.
icass service reimbursment	Notification of the receipt of a reimbursement of a given amount that USAID/W (M/FM) has received for services rendered by the agency under an ICASS agreement.
initial value of assets	Value of personal property when acquired and placed under property management control.
inventory value	The value of capitalized and non-capitalized inventory based on physical counts, unit prices and cost flow.
loan servicing to fm	1. Lockbox Services Daily Interface File containing collections data at transaction level (deposit with the Federal reserve) 2. M&I Loan Management System 2.1 Interface Files contain standard Credit Reform budgetary and proprietary transactions (Collections, Disbursements, Actual claims, Year-end accruals) 2.2 Daily collections interface file (Principal, Interest & fees processed: Direct loans, Guaranteed loans, Loan portfolio guarantees) 2.3 Interface Files containing standard Credit Reform transactions (Lender Disbursements on Guaranteed loans and Loan portfolio guarantees) 2.4 Monthly Manual Request for Advances to cover anticipated defaults on guaranteed loans.

Name	Description
	2.5 Periodic Interface File containing standard budgetary & proprietary transactions related to advances
	2.6 Interface File containing standard transactions related to actual write-off or other adjustments
	2.7 Quarterly Interface File containing transactions for accrual of interest and fees owed on direct and guaranteed loans and loan portfolio guarantees. Interface file containing transactions reversing these accruals as of the September 30 year-end close (Beginning of new fiscal year)
	1. Lockbox Services
	Financial Institutions make various kind of collections on behalf of USAID. Record, Post, and Reconcile collections; Match Collections to account receivable.
	2. M&I Loan Management System
	2.1 Update General Ledger and Funds Management accounts
	2.2 USAID's Loan Servicing Contractor acting as Paying and Transfer Agent (PTA) for USAID, facilitates collection process and also Monitors USAID Collections via US Treasury CASHLINK System. Update General Ledger and Funds Management accounts
	2.3 USAID's Loan Servicing Contractor acting as PTA for USAID, facilitates disbursements process. Update General Ledger Memorandum Accounts and Funds Management Limitations accounts
	2.4 USAID's Loan Servicing Contractor estimates anticipated defaults on guaranteed loans. Process Advances Requests and generate Electronic funds transfer
	2.5 USAID's Loan Servicing Contractor estimates anticipated defaults on guaranteed loans. Liquidate the advances and Update General Ledger and Funds Management accounts
	2.6 USAID's actions forwarded to the Loan Servicing Contractor. Update General Ledger and Funds Management accounts
	2.7 USAID's actions forwarded to the Loan Servicing Contractor. Update Program, Financing, and Liquidating Accounts for General Ledger (including Income, expense, liabilities, revenue, and status of fund Accounts) and Program, Financing, and Liquidating Accounts for Funds Management
notification of receipt	A record documenting that ordered materials were received. This may require the information in the event of a multiple-part shipment, or a handwritten notation on the acquisition document, where the order is received in a single shipment. Receiving reports are in English, indicate item cost in U.S. currency, and have any damage or discrepancies noted. Report may include owner of item, procurement document number, receiving report number and date, and method of acquistion.
obligation document	Obligations are transactions made during a given time period that will require payment during the same or a future time period (JFMP CFS Requirements). An obligation is a written agreement for which USAID has fiscal responsibility to effect payment pursuant to delivery of goods or services (refer to ADS 571). When multiple instruments are awarded under a single agreement, the

Name	Description
	obligations for these instruments are called sub-obligations.
	An obligation document includes the following data:
	obligating document number and type
	vendor ID
	accounting classification
	referenced commitments
	dollar amount
	date
	period of validity
oyb distribution data	Information enabling authorized officials throughout the Agency to obligate funds according to the Operating Year Budget (OYB). OYB distribution data include: Strategic Objective (and activity) definition and code, sources of funds codes, restrictions and constraints, dollar amount, date and period of validity.
payment authorization	The CTO's (or authorizing officer's) notification to the FM office as to the goods or services that have been received and providing the administrative approval for payment to vendor. It includes the following data:
	Obligation number (or voucher number)
	Vendor ID
	Dollar amount
	Date
payroll-fm data	Payroll information sent to Financial Management. This includes:
	Payroll Accrual
	Salary
	Medical
	Benefits
	Leave
	FED-TAX transacitons (Federal, FICA, Medicare tax paymen)
	State Tax Payments
	Pay Advances
procurement document	commitment document + decommitment document + obligation document + deobligation document

Name	Description
property asset accounting data	The portion of acquisition cost that is attributed to the property asset. Acquisition cost is the cost of the property plus any transportation charges, handling and storage costs, labor and other direct or indirect costs (for goods produced or constructed), and outside services for design, plans, or specifications, billed from sources other than the vendor. (ADS, Chapter 534)
so activity structure	The structure of the activity package that will be used to collect costs for the work performed toward the strategic objective; essentially the work breakdown structure mapped to the accounting structure.
state to fm	1. USDO Updated Payment Status (From "Disbursement in Transit" to "Disbursed") via FMC 80 file or SF 1221 2. Automated Cashiering System (ACS) Accounting Transactions for USAID Mission Collections 3. United States Disbursing Office (USDO) FSC Payroll Service; hr-fm data (payroll) Obligation / Disbursement Information; Change in Leave Balances Automation Issues: 1. USDO USAID Processes most Foreign Currency Payment via USDO. Update Payment Records 2. Automated Cashiering System (ACS) Automate Deposit / Collection Reconciliation between USDO and USAID Mission. Record appropriate accounting transactions for USAID Mission collections 3. USDO/FSC payroll services Many but not all missions use the USDO services. Different systems are in use across USAID missions, depending in part on whether USDO services are used. USAID needs to move toward standardized mission payroll processing.
treasury to fm	1. Disbursing Office (Via GOALS) Updated Payment Status (From "Disbursement in Transit" to "Disbursed") 2. On-line Payment and Collection (OPAC) / Electronic Data Interchange Payment and Collection (EDIPAC) Systems Payment and Collection (including Credits) Transactions 3. Prime Pay (Kansas City Financial Center) Expense transactions; Disbursement Transactions (Recurring Payments from Agency Bank Accounts) 4. Treasury Offset Program System (TOPS) 4.1 Data related to collections on delinquent accounts which Treasury collects on USAID behalf

Name	Description
	through government-wide offset.
	4.2 Data related to vendors when disbursement by USAID have been reduced by Treasury to offset vendor outstanding debt with other Federal agencies.
	5. CASHLINK
	Treasury record collections data
	1. Disbursing Office (Via GOALS)
	Global Online Accounting Link System (GOALS) is a telecommunication interface used to transmit and retrieve data between US Government agencies. Update Payment Record Status; Process the Payment Schedule Accomplishment data
	2. On-line Payment and Collection (OPAC) / Electronic Data Interchange Payment and Collection (EDIPAC) Systems
	Payments made to Other Agencies and / or Between USAID Accounting Locations
	3. Prime Pay (Kansas City Financial Center)
	USAID intends to use this system for US "Preferred Vendors"
	4. Treasury Offset Program System (TOPS)
	4.1 TOPS is a centralized debt collection program to assist federal agencies for write-offs and reporting purposes. Debt Collection Improvement Act, 1996, (CIA) requires all debt over 180 days delinquent must be transferred to Treasury Department. Update accounts receivable balances
	4.2 TOPS is a centralized debt collection program to assist federal agencies for write-offs and reporting purposes. Debt Collection Improvement Act, 1996, (DCIA) requires all debt over 180 days delinquent must be transferred to Treasury Department. Store vendor's reduced payment information for payments offset by Treasury on behalf of other agencies (Response to vendor inquiries)
	5. CASHLINK
	CASHLINK is used to manage and monitor collection of government revenues and to report balances to Federal agencies. Reconcile Treasury record collections to FMS recorded collections. Generate exception reports. (Using CASHLINK and agency can down-load account balances, average daily balances, wire transfers, and detail account transactions)
trust fund reports	Status of LCTF activity sent to USAID/W and the host country government through regular summary reports. For the host country, the reports depend on local regulations and the requirements of the trust fund agreement. For USAID/W, the reports include the Status of Cash Report - Foreign Currency Trust Fund (MACS, U-111 or U-109) and the Summary of Allotment Ledger Transactions Reconciliations with Disbursing Officer's Accounts (MACS, U-106). In USAID/W (M/FM) consolidates these reports and transmits them through the Department of State to the Treasury.

Name	Description
unused prior year budget authority	Authority to expend funds from a prior fiscal year during the current fiscal year, provided those funds are qualified for carryover.
vendor (edi) to fm	Electronic Data Interchange (EDI) Vendor Invoices (Electronic) Electronic Data Interchange (EDI) Intended Implementation. Requires Invoice Number of 30 Characters. Document Matching / Payee Edits;　　Letter to Vendor for incorrect PO / Obligation number
vendor (hard copy) to fm	USAID Document Imaging System Vendor Invoices (Paper) USAID Document Imaging System Intended Implementation to generate electronic copies of documents received via US Mail. Document Matching / Payee Edits; Letter to Vendor for incorrect PO / Obligation number
vendor information	Vendor information includes: vendor ID vendor name address(es) phone numbers bank account(s) and electronic fund transfer information other required information for advertising, disbursement, and reporting.
vendor/web site	USAID Web Site: vendor info and payment status USAID Web Site: Provide Payment Info to Vendors. Extract Payment Data & send to Web Site Server

Financial Management – Process/Actor Definitions

Name	Description
Acquisition and Assistance	The USAID business area through which the Agency purchases goods and services and administers contracts, grants, and procurement policies.
Budget	The USAID business area through which the Agency plans and allocates its financial resources, formulates and justifies a budget for submission to the Office of Management and Budget (OMB) and Congress, and distributes the appropriated budget to operating units and programs for execution.
DHHS	USAID outsources Line of Credit processing to the Department of Health and Human Services (DHHS)
Financial Institutions	Automated, Credit Card System, PAYLINK, Other Bank Systems, Lockbox Services
Financial Management	The USAID business area through which the Agency controls financial resources, makes disbursements and receives payments, and maintains and reports on account balances.
Human Resources	The USAID business area through which the Agency recruits and trains its workforce, administers employee actions such as evaluations and promotions, establishes the compensation and benefits of employees, and makes payroll transactions.
Payroll	Record time worked by agency employees, administer employee pay, track leave and benefits, and provide pay-related information to US and State governments agencies and USAID employees.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and tracks the results.
Property Management	The USAID business area through which the Agency tracks and controls both real and personal property, where personal property includes both expendable and non-expendable property.
State Department	United States Department of State
Travel and Transportation	USAID business processes supporting temporary duty travel, entitlement travel, and the transportation or storage of the personal belongings of an employee posted overseas.

Financial Management – Process/Actor Definitions

Name	Description
Treasury Department	Unites States Department of Treasury
USAID's Loan Servicing Contractor	Riggs Bank, M&I Loan Management System
USDO	United Stated Disbursing Office
Vendor	A vendor is a person, company, or affiliate that provides goods or services to USAID.

Table H-1. Financial Management Interfaces Between External Entities and Internal Processes

From	To	Exchanged Data Description	Internal Process
Department of Health and Human Services (DHHS)		1. Detailed Transaction Level: 2. 5805 Transactions (monthly weighted average unliquidated balance across appropriations) 3. Grant closeout Information	General Ledger
	DHHS	Current information regarding grantee (grant award, recipient organization, banking information)	General Ledger
	Financial Institutions	Electronic transmission of payment transactions and payment schedules data	Accounts Payable
Financial Institutions		Purchasing activity information	General Ledger
	Financial Institutions	Credit cards payment schedule	Accounts Payable
Financial Institutions		Updated payment status (From "Disbursement in Transit" to "Disbursed") via Bank statement/ payment records	Accounts Payable
	State Department USDO (External Payroll)	Personal Service Contractors (PSC) data	Accounts Payable
State Department USDO (External Payroll)		Payroll transactions: Payroll accrual, salary, medical, benefits, leave; FED-TAX transactions (Federal, FICA, Medicare tax payment); state tax payments (automatically scheduled and disbursed). Payroll advances	Funds management
State Department USDO (External Payroll)		Obligation/disbursement information; change in leave balances	General Ledger
	State Department USDO	Electronic transmission of SF 1166 Data (Payment transactions and payment schedules)	Accounts Payable
State Department USDO		Updated payment status (from "Disbursement in Transit" to "Disbursed") via FMC 80 file or SF 1221	Accounts Payable
State Department USDO		Accounting transactions for USAID mission collections	Accounts Receivable

From	To	Exchanged Data Description	Internal Process
	Treasury Department	Global Online Accounting Link System (GOALS) Reports	
	Treasury Department	Electronic transmission of SF 1166 data (payment transactions and payment schedules)	Accounts Payable
	Treasury Department	USAID 1099 data; vendor's 1099 data	Accounts Payable
	Treasury Department	Vendor information and payment status	Accounts Payable
	Treasury Department	ICASS reimbursement (to State Dept.)	
Treasury Department		Updated payment status (From "Disbursement in Transit" to "Disbursed")	Accounts Payable
	Treasury Department	Payment schedule	Accounts Payable
Treasury Department		Payment and collection (including credits) transactions	Accounts Payable
Treasury Department		Expense transactions; disbursement transactions (recurring payments from agency bank accounts)	Accounts Payable
Treasury Department		Data related to collections on delinquent accounts which Treasury collects on USAID behalf through government-wide offset.	Accounts Receivable
Treasury Department		Data related to vendors when disbursement by USAID have been reduced by Treasury to offset vendor outstanding debt with other Federal agencies.	Accounts Payable
Treasury Department		Treasury record collections data	Accounts Receivable
Treasury Department		ICASS bill (from State Department, via OPAC)	
	USAID's Financial Institutions (Banks)	Daily report of account receivable (Unmatched accounts receivables)	Accounts Receivable
USAID's Financial Institutions (Banks)		Daily interface file containing collections data at transaction level (deposit with the Federal reserve)	Accounts Receivable
	Riggs Bank	Loan obligation data; electronic funds	

From	To	Exchanged Data Description	Internal Process
		transfer for advances to cover anticipated defaults on guaranteed loans.	
Riggs Bank		Interface files contain standard credit reform budgetary and proprietary transactions (collections, disbursements, Actual claims, Year-end accruals)	General Ledger/ Funds Management
Riggs Bank		Daily collections interface file (principal, interest & fees processed: direct loans, guaranteed loans, loan portfolio guarantees)	General Ledger/ Funds Management
Riggs Bank		Interface files containing standard Credit Reform transactions (lender disbursements on guaranteed loans and loan portfolio guarantees)	General Ledger / Funds Management
Riggs Bank		Monthly manual request for advances to cover anticipated defaults on guaranteed loans.	Accounts Payable
Riggs Bank		Periodic Interface File containing standard budgetary and proprietary transactions related to advances	Accounts Payable
Riggs Bank		Interface File containing standard transactions related to actual write-off or other adjustments	General Ledger / Funds Management
Riggs Bank		Quarterly Interface File containing transactions for accrual of interest and fees owed on direct and guaranteed loans and loan portfolio guarantees. Interface file containing transactions reversing these accruals as of the September 30 year-end close (beginning of new fiscal year)	General Ledger
	Vendors	Vendor info and payment status	Accounts Payable
Vendors		Vendor invoices (electronic)	Accounts Payable
Vendors		Vendor invoices (paper)	Accounts Payable

Table H-2. Financial Management Interfaces Between USAID Business Areas and Internal Processes

FROM Business Area	TO Business Area	Exchanged Data Description	Internal Process
Acquisition & Assistance	**FM**	payment authorization	**Accounts Payable**
Acquisition & Assistance	**FM**	Procurement document: commitment document	**Funds Management**
Acquisition & Assistance	**FM**	Procurement document: de-commitment document	**Funds Management**
Acquisition & Assistance	**FM**	Procurement document: obligation document	**Funds Management**
Acquisition & Assistance	**FM**	Procurement document: de-obligation document	**Funds Management**
Acquisition & Assistance	**FM**	Vendor information	**Accounts Payable**
Acquisition & Assistance	**FM**	Close-out notification	**General Ledger / Accounts Payable**
Budget	**FM**	Operating Year Budget (OYB) distribution data	**Funds Management**
Budget	**FM**	Trust Fund Reports	
Budget	**FM**	ICASS financial data	

FROM Business Area	TO Business Area	Exchanged Data Description	Internal Process
FM	**Acquisition & Assistance**	Vendor information (return flow)	**Accounts Payable**
FM	**Budget**	Unused prior year budget authority data	**General Ledger**
FM	**Budget**	financial performance status data for current or prior year	**General Ledger**
FM	**Budget**	ICASS financial data	
FM	**Program Operations**	Accounting Classification Structure (ACS) Data	**General Ledger**
FM	**Program Operations**	financial performance status data for current or prior year	**General Ledger**
FM	**Program Operations**	Unused prior year budget authority data	**General Ledger**
Fm	**BSS**	Financial performance status data	**General Ledger**
FM	**Business Support Services**	property asset accounting data	**Accounts Payable**
Human Resources (Payroll)	FM	Payroll-FM data:	**General Ledger, Accounts Payable**
Program Operations	FM	Strategic Objective(s) (SO) activity structure	**Funds management General Ledger**
Business Support Services	FM	Initial Value of Asset	**General Ledger**
Business Support	FM	capitalized asset depreciation	**General Ledger**

FROM Business Area	TO Business Area	Exchanged Data Description	Internal Process
Services			
Business Support Services	FM	notification of receipt	Accounts Payable
Business Support Services	FM	asset disposal	General Ledger
Business Support Services	FM	inventory value	General Ledger
Business Support Services	FM	Procurement document	Funds Management

Appendix I.   Knowledge Management

Appendix I shows the architecture diagrams and accompanying data dictionary for the Knowledge Management business area. The following index to the diagrams provides a list of the processes in each business area for which a data flow diagram has been developed and the page numbers on which those diagrams can be found. Processes for which a lower level decomposition has not been diagrammed do not appear in this list.

Index to Processes

Diagram 8600. Knowledge Management (Decomposition)

```
                        ┌──────────────────────┐
                        │ Knowledge Management │
                        └──────────────────────┘
                                   │
        ┌──────────────────────────┼──────────────────────────┐
┌────────────────────┐   ┌────────────────────┐   ┌────────────────────────┐
│ Capture Development│   │ Use Development    │   │ Maintain Institutional │
│ Knowledge          │   │ Knowledge          │   │ Archives               │
└────────────────────┘   └────────────────────┘   └────────────────────────┘
        │                         │                         │
┌────────────────────┐   ┌────────────────────┐   ┌────────────────────┐
│ Identify Knowledge │   │ Search for Relevant│   │ Determine          │
│ Assets             │   │ Knowledge          │   │ Disposition of     │
└────────────────────┘   └────────────────────┘   │ Records            │
        │                         │                └────────────────────┘
┌────────────────────┐   ┌────────────────────┐            │
│ Organize Knowledge │   │ Retreive Relevant  │   ┌────────────────────┐
│ Assets             │   │ Knowledge          │   │ Archive Historical │
└────────────────────┘   └────────────────────┘   │ Records            │
        │                                          └────────────────────┘
┌────────────────────┐                                      │
│ Store Knowledge    │                             ┌────────────────────┐
│ Assets             │                             │ Retrieve Archived  │
└────────────────────┘                             │ Records            │
                                                   └────────────────────┘
```

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┌─────────────────────────────────────────────┐
│  Knowledge Management (Decomposition)        │
│              SA/2001                          │
│        Wed Feb 16, 2000  18:29                │
│ ───────────── Comment ─────────────          │
│        Knowledge Management                   │
│ ───────────── Diagram Number ──────────      │
│                8600                           │
└─────────────────────────────────────────────┘
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I-2

Diagram 8610. Agency Development Knowledge (Object Model)

I-3

Diagram 8611. Agency Working Information (Object Model)

agency working information

progam operations data

see appendix C
data dictionary

budget data

see appendix D
data dictionary

acquisition and assistance data

see appendix E
data dictionary

business support services data

see appendix F
data dictionary

human resources data

see appendix G
data dictionary

financial management data

see appendix H
data dictionary

general counsel working information

litigation documents

financial disclosure statements

legal opinions

correspondence

Agency Working
Information (OMT Object
Model)
SA/2001
Tue Feb 22, 2000 16:54
——Comment——
——Diagram Number——
8611

Diagram 8601. Knowledge Management Business Area

Partners

Designated
USG
Repositories

Program
Operations

information for
permanent government
archive

○ ● ○

partner's development knowledge

7 Knowledge Management

agency development knowledge

agency developement knowledge

public domain development
knowledge

agency historical records

agency working information

Knowledge Management Business Area
(OMT Data Flow)
SA/2001
Tue Feb 22, 2000 16:59
──Comment──
Knowledge Management
──Diagram Numbe──
8601

Data from current agency operation
and business activities, including data
flows internal to all business areas.

Diagram 8602. Knowledge Management Processes

public domain development knowledge

agency historical records

Data from current agency operation and business activities, including data flows internal to all business areas.

Partners

partner's development knowledge

7.1 Capture Development Knowledge

agency working information

information for archives

7.3 Maintain Institutional Archives

agency development knowledge

agency knowledge metadata

agency development knowledge

Program Operations

information for permanent government archive

agency development knowledge

7.2 Use Development Knowledge

agency development knowledge

Designated USG Repositories

agency development knowledge

released development knowledge

7. Knowledge Management Processes
(OMT Data Flow)
SA/2001
Tue Feb 22, 2000 14:19
──────Comment──────
Knowledge Managment
─────Diagram Numbe─────
8602

Note: USAID users and partners can access agency development knowledge through the knowledge management system for application to a particular development project, issue, or problem. Only internal USAID users can access agency working information.

Data Dictionary

Knowledge Management – Data Flow Definitions

Name	Description
agency development knowledge	program results + agency program performance + results evaluation (approach effectiveness + causal relationship + country performance + results effectiveness) + country trend data + lessons learned + operational planning information + approaches
information for archives	That set of agency working information that has been selected for inclusion in the agency historical records.
information for permanent government archive	A subset of agency historical records provided to the National Archives for storage at designated USG repositories.
partner's development knowledge	The development knowledge originated or utilized by the partner in planning and carrying out USAID program operations. This information becomes part of agency development knowledge. It may include information contained in proposals the partner makes to USAID or systems developed with USAID funding, if the partner and USAID agree to this use of the information.
released development knowledge	Agency development knowledge which has been released, through Agency-approved procedures and publications, into the public domain.

Name	Description
agency development knowledge	Knowledge pertinent to the Agency's program goals of sustainable development and humanitarian relief, including both strategic and operational information. It is available to the Agency and its partners. Specific elements include: Program results: Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships. Agency program performance: The effectiveness of USAID programs (results) in meeting international development, transition, and humanitarian needs. Approach effectiveness: Descriptions of strategic approaches that have been used to achieve results, and records of experience using them. Approaches include ways of attacking categories of development problems and experience with different instruments (direct grants, loans, contracts, etc.). Types of experience recorded includes the effectiveness of particular tools and tactics applied to different approaches. Causal relationship: A plausible cause and effect linkage; i.e., the logical connection between the achievement of related, interdependent results. Country performance: Changes in the country's social, political, economic, educational, or environmental climate, and any other factors relevant to assessment of the USAID program in the country. Results effectiveness: The effectiveness of the achieved results in meeting program goals. Country trend data: Time series data for parameters of interest to the sustainable development community for a particular country. Lessons learned: The conclusions extracted from reviewing a development program or activity by participants, managers, customers, or evaluators, with implications for effectively addressing similar issues/problems in another setting. Include results, as measured by indicators, and actual expenditures required to achieve them. Operational planning information: Approaches for achieving results, including: techniques for establishing teams, defining work breakdown structures, developing procurement plans, establishing performance monitoring techniques, best practices, guidance on selecting instruments, capabilities of partners, etc.)
agency historical records	Agency working data deemed to be of sufficient significance to be retained rather than disposed of following the completion of its operational use. A subset of historical records may be provided to the National Archives for long-term storage after it is no longer required to be available to the

Name	Description
	Agency. Historical records include official program documents, and archival information on loans and contracts.
agency knowledge metadata	Attributes of knowledge assets that allow knowledge to be categorized, organized, searched, retrieved, and utilized. Metadata for a given knowledge asset include: program area knowledge (keywords or indices) - economic growth and agriculture - human capacity development - world population stabilization and human health protection - world environmental protection - open political institutions/democracy - humanitarian assistance geographic area indicator: - identification of country or USAID-defined region - pointers or links to data of other donors in the region - pointers or links to related types of information, such as geographic information systems data linkages to USAID working data and historical records: - Identification by related SO and source/author - Description and abstract - Version (if applicable) - Evaluation and reviews (if applicable) - Recommendations and feedback (if applicable) - Pointer or link to relevant information from other business areas (e.g., procurement documents, financial management records, property management records)
agency working information	The set of related data capturing the state of current agency operations and business activities. Agency working data is private to the Agency and not available to partners or the public unless and until approved for release in an authorized form. Includes: - program operations data (e.g. SOs being planned or results under review) - budget data - acquisition and assistance data (e.g. procurement documents) - property management data - human resources data - financial management data - general counsel working information

Name	Description
public domain development knowledge	Any knowledge created and maintained by a source external to the Agency, in the public domain, and pertinent to the Agency's ability to carry out its mission. Examples of public domain knowledge sources include the World Bank, the United Nations, PVOs and NGOs, and assistance agencies of other countries. An example of a public domain knowledge system is CARE Canada's "Information to Knowledge" web-based repository of best practices in disaster relief.

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Name	Description
Capture Development Knowledge	Identify knowledge assets among Agency working information, agency historical records, and public domain development knowledge. Organize knowledge assets by classifying them according to knowledge attribute to create development knowledge metadata. Store knowledge assets for subsequent retrieval and/or distribution. In some cases it may be necessary to store the knowledge asset itself, along with the metadata. In other cases the metadata may include links to the source of the information, which remains stored outside the Agency's knowledge system. Capturing development knowledge requires input from Agency knowledge workers to determine how knowledge assets should be scoped and organized for retrieval.
Designated USG Repositories	Any US Government facility of the National Archives designated to accept and retain pertinent USAID permanent records.
Knowledge Management	Knowledge management consists of identifying, retrieving, storing, sharing, and evaluating knowledge. Knowledge represents an understanding of information validated by experience.
Maintain Institutional Archives	Determine the disposition of Agency records and schedule them for archival or disposal according to their significance. Archive records of historical significance for permanent safekeeping and access; dispose of working information that is no longer required to support agency operations, but has no historical significance. Retrieve archived information as necessary in response to Agency management inquiries, Congressional questions, and Freedom of Information Act requests. Note: NARA archivists work with agencies to determine the length of time their records should be retained before being destroyed or transferred to the National Archives of the United States, and archivists maintain schedules of records currently in agencies' custody.
Partners	An organization or customer representative with whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: private voluntary organizations, indigenous and other international nongovernment organizations, universities, other USG agencies, UN and other multilateral organizations, professional and business associations, private businesses, and host country governments at all levels.
Program Operations	The USAID business area through which the Agency plans sustainable development and humanitarian response programs, schedules the activities and resources for implementing those programs, and

Name	Description
	tracks the results.
Use Development Knowledge	Search for relevant knowledge across the Agency's knowledge assets. Retrieve relevant knowledge for use in Agency program and business areas. Search and retrieval use the knowledge attributes by which the assets have been categorized to locate patterns of information of interest to the user and access that information source.

Appendix J.   Requirements Matrix

Appendix J is a table that lists the requirements in each business area, their process numbers, other pertinent information, and comments as appropriate.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
					staff ~ 1500	staff ~ 100	staff ~ 5 to 10	
Ops	**1**	**Program Operations**	Approximately 80 overseas sites, including about 10 regional centers.					
Ops	1.1	Plan OU Unit Results	5-8 year strategic planning cycle					Improved electronic communication between USAID mission and emabassy needed to expedite planning and operational interface.
Ops	1.1.2	Articulate Desired Results		yes	yes	yes	yes	Support interactive creation and update of results framework.
Ops	1.1.3	Define Approach		yes	yes	yes	yes	
Ops	1.1.4	Record Strategic Plan		no?	yes	yes	yes	
Ops	1.2	Achieve OU Results						Automated, collaborative work environment shared by partners and USAID is needed. At a minimum, promote electronic interchange of information with partners (e.g., electonic vouchers and status reports).
Ops	1.2.1	Develop		yes	yes	yes	yes	Accessible status information on program plans in a region aid review by staff at

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Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
		Activity Plans						regional center (e.g., RLA).
Ops	1.2.2	Negotiate SO Agreement		no	no	yes	yes	
Ops	1.2.3	Monitor Activity Implementation	Partnerships: 34% of USAID development assistance through PVOs and NGOs (1998 Accountability Report)	yes	yes	yes	yes	Program management and tracking tools needed with standard interfaces to the agency's financial and mixed financial systems. Reduce paperwork and the need for cuff systems.
Ops	1.3	Evaluate OU Results						
Ops	1.3.1	Evaluate Results		yes	yes	yes	yes	
Ops	1.3.2	Evaluate Country Performance	Agency tracks 25 indicators for 7 goal areas for each country receiving assistance (1998 Accountability Report)	yes	yes	yes	yes	
Ops	1.3.3	Validate Approach		no?	yes	yes	yes	
Ops	1.3.4	Prepare Impact Analysis		no?	yes	yes	yes	
Ops	1.3.5	Identify Lessons Learned		yes?	yes	yes	yes	

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automation Target	USAID/W	Regional Center	Small Site	Notes
Ops	1.3.6	Review Results & Request Resources	Annual update ("R4"): 106 R4s; 1978 indicators in the R4 database (CDIE online)	yes	yes	yes	yes	Automated collection of results; support extraction of information for reporting to USAID/W.
Ops	1.4	Guide Agency Program						
Ops	1.4.1	Formulate Agency Policy		yes?	yes	no	no	Automation needs are primarily related to development information access. See knowledge management.
Ops	1.4.2	Articulate Parameters		yes?	yes	no	no	Automation needs related to communication of parameters (e.g earmarks) to agency and integration into the planning process.
Ops	1.4.3	Evaluate Agency Program Results		yes	yes	no	no	Automation needs are primarily related to knowledge management, and include agency-wide collection of operating unit results.
Ops	1.4.4	Review / Approve Regional / Local Plans		yes	yes	no	no	Workflow automation.
BUD	**2**	**BUDGET**	3-year budgeting cycle: formulate, justify, implement					
BUD	2.1	Prepare Budget Guidance						

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
BUD	2.1.1	Determine Budget Guidance		no	yes	no	no	
BUD	2.1.2	Establish New Account		yes	yes	no	no	
BUD	2.1.3	Review Budget Guidance		no	yes	no	no	
BUD	2.1.4	Determine Earmark/Directive		yes?	yes	no	no	
BUD	2.1.5	Release Budget Guidance		yes?	yes	no	no	
BUD	2.2	Formulate Agency Budget	$6.8B spent on all types of sustainable development and direct transfers; $374M on humanitarian response (1998 Accountability Report); $488M on Operating Expenses (1997 budget actual).					Iterative formulation of budget by Strategic Objective (SO), country/region, resource category, emphasis area.
BUD	2.2.1	Determine Activity Budget		yes	yes	yes	yes	
BUD	2.2.2	Negotiate Budget		yes	yes	yes	yes	Operating units itnteract with bureau budget process.
BUD	2.2.3	Develop Justification		no	yes	yes	yes	
BUD	2.2.4	Negotiate ICASS Services		yes	no	yes	yes	ICASS software (State Dept.) currently used to estimate cost distribution and budget. Need interface to agency budget system.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
BUD	2.3	Request Agency Budget						
BUD	2.3.1	Prepare OMB Budget Submission	Roughly 300 pages of tables and supporting text (Budget Office estimate).	yes?	yes	no	no	Reports tailored for OMB submission may be needed to be developed.
BUD	2.3.2	Determine OMB Reclama		no	yes	no	no	
BUD	2.3.3	Record Target Level		yes	yes	no	no	
BUD	2.3.4	Prepare President's Budget		no?	yes	no	no	Agencies key data directly into OMB system (MAX). Unknown whether any supporting reports will need to be tailored.
BUD	2.3.5	Prepare Congressional Presentation		no?	yes	no	no	CP format determined by Congress; unknown whether any supporting reports will need to be tailored for import into presentation.
BUD	2.3.6	Develop Justification		no	yes	yes	yes	
BUD	2.4	Allocate Funds						
BUD	2.4.1	Request Apportionment		yes?	yes	no	no	
BUD	2.4.2	Post Apportionment		yes	yes	no	no	

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
BUD	2.4.3	Transfer Funds		yes	yes	no	no	
BUD	2.4.4	Develop Justification		no	yes	yes	yes	
BUD	2.4.5	Distribute Funds		yes	yes	no?	no	
BUD	2.5	Execute Agency Budget						
BUD	2.5.1	Monitor Budget Execution		Yes	yes	yes	yes	Automated tracking of CNs and TNs needed, and automated budgetary event notices to program staff.
BUD	2.5.3	Manage ICASS Budget	$30 million annual ICASS budget	yes	yes	yes	yes	Electronic notification of the arrival of ICASS invoices, OPAC bills, notice of disbursements, etc. is needed. Automated information sharing between State, the mission, M/BUD, and M/FM is needed.
BUD	2.5.4	Manage Local Currency Trust Funds		Yes	yes	yes	yes	
A&A	**3**	**Acquisitions and Assistance**						
A&A	3.1	Planning						Need to address local, regional, and global fiedl support aspects of a&a planning.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
A&A	3.1.1	Perform Fiscal Year Planning		yes?	yes	yes	yes	High-level planning. May be a manual process facilitated by analytical tools.
A&A	3.1.2	Analyze A&A Requirement		yes	yes	yes	yes	
A&A	3.1.3	Consolidate OU Procurement Plans	Annual call for procurement plans.	yes	yes	yes	no	
A&A	3.1.4	Plan OP Staff Workload & Deadlines		yes	yes	no	no	
A&A	3.1.5	Plan OU Staff Workload		yes	yes	yes	yes	
A&A	3.1.6	Consolidate & Assign A&A Requests		yes	yes	yes	no	
A&A	3.1.7	Revise Request		yes	yes	yes	yes	Workflow intensive
A&A	3.1.8	Review Request		yes	yes	yes	yes	Workflow intensive.
	3.1.9	Accept Request		yes	yes	yes	yes	Usually commit funds at this point, but need flexibility to commit at various points in the process. Integrate with funds management to activate encumbrance and budgetary controls.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
A&A	3.2	Award Formation	Total Agency-wide awards = 5,628 (FY96) Contracts with over 3500 US companies and over 300 US PVOs (1998 Accountability Report).					
A&A	3.2.1	Prepare Solicitation		yes	yes	yes	yes	Workflow intensive.
A&A	3.2.2	Revise Solicitation		yes	yes	yes	yes	Workflow intensive.
A&A	3.2.3	Solicit Response	Currently 19,000 vendors in NMS A&A vendor table.	yes	yes	yes	yes	Through Commerce Business Daily.
A&A	3.2.4	Evaluate Response		yes	yes	yes	yes?	Manual interface with contractor past performance data store.
A&A	3.2.5	Determine Apparent Winner		yes	yes	yes	yes	
A&A	3.3	Award Administration	$3B annual procurement actions, 5000 estimated transactions (letters of intent (LOIs))					
A&A	3.3.1	Administer Award		yes	yes	yes	yes	Operating units need a single store of award records accessible by all pertinent organizations to eliminate redundant hard copy files.
A&A	3.3.2	Monitor Performance		yes?	yes	yes	yes	May be supported by automated history and analysis tools. Manual interface with contractor past performance data store.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
A&A	3.3.3	Modify Award		yes	yes	yes	yes	
A&A	3.3.4	Close Out Award		yes	yes	yes	yes?	
A&A	3.3.5	Monitor Subcontracts		yes?	yes	yes	yes?	
A&A	3.4	A&A Support						
A&A	3.4.1	Administer Procurement Policy		no?	yes	no?	no	
A&A	3.4.2	Issue Warrant		no?	yes	no	no	
A&A	3.4.3	Review Procurement Systems		no?	yes	yes?	no	
A&A	3.4.4	Train Procurement Officials		no?	yes	yes?	yes?	
A&A	3.4.5	Assess Host Country Contracting System		no	no	yes	yes	
A&A	3.4.6	Manage Financial Audit		yes	yes	yes	yes?	
BSS	**4**	**Business Support Services**						

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automation Target	USAID/W	Regional Center	Small Site	Notes
BSS	4.1	Travel and Transportation						
BSS	4.1.1	Manage Agency Travel		yes	yes	yes	yes	Automated workflow interfacing with financial system needed. Access to travel records for entire agency needed. Ability to handle entitlement travel situations needed.
BSS	4.1.2	Manage Transportation and Storage		yes	yes	no	no	Automated workflow needed. Interface with personnel record required. Interface with State Dept. Stats system will continue in use.
BSS	4.2	Property Management						
BSS	4.2.1	Manage Real Property						
BSS	4.2.1.1	Manage Functional Property		yes?	yes	yes	yes	Interface to DOS RPMS. USAID processes may be manual with supporting reports and history through property module.
BSS	4.2.1.2	Manage Residential Property		yes?	no	yes	yes	Interface to DOS RPMS. USAID processes may be manual with supporting reports and history through property module.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
BSS	4.2.2	Manage Personal Property	Total Agency wide OE and trust funded non-expendable property items: (1) AID/W- 55,000 (2) mission average- 8000 x 80 missions = 640,000 items. Agency total = 695,000		yes	yes	yes	Tack USAID property in Agency custody as well as in custody of partners. Bar code non-expendable personal property in Agency custody.
BSS	4.2.2.1	Obtain Property		yes	yes	yes	yes	May require both online and offline notification of receipt depending on network capabilities at the missions.
BSS	4.2.2.2	Control Property		yes	yes	yes	yes	Vehicle management may require customization or additional support tools.
HR	**5**	**Human Resources**						
HR	5.1	Workforce Management	Workforce approximately 7000. Includes 1100 Civil Service (CS), 1100 Foreign Service (FS), and 4800 other, primarily Foreign Service National (FSN) on personal services contracts.					19 categories of employees including various types of personal service contract and interagency agreements. USAID/W HR Office supports FS and CS; tracks numbers in the other categories. Executive office at mission manages FSN PSCs and other categores employed at the mission.
HR	5.1.1	Workforce Planning		yes	yes	yes	yes (limited)	Record and report on organizational structure and staffing pattern. Job sharing a desirable feature.
HR	5.1.2	Workforce		yes	yes	yes	yes	Track form SF-182 for all courses and all

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
		Development					(limited)	employees; centralize records.
HR	5.1.3	Classification		no?	yes	yes (limited)	yes (limited)	Interface with COHO system (Agency is currently deploying).
HR	5.1.4	Manage Policy		no	yes	no	no	
HR	5.1.5	Workforce Diversification		yes	yes	no	no	Reports and summaries for use by USAID Equal Opportunity Program Office as well as HR. Maintain confidentiality of minority status information.
HR	5.2	Employee Administration	Workforce distribution: 1500 in Washington (1100 FS, 400 CS); 5500 overseas (700 FS, 4800 FSN and others).					USAID/W HR Office administers all FS and CS employees. Mission Directors administer FSNs at overseas sites.
HR	5.2.1	Employee Placement		yes	yes	yes	yes	Support different processes for CS and FS assignments. Track form SF-50. Workflow intensive.
HR	5.2.2	Evaluate Employee Performance		yes	yes	yes	yes	Support workflow, store evaluations.
HR	5.2.3	Promotion, Tenure, and Standards		yes	yes	yes*	yes*	Support workflow, track SF-50.
HR	5.2.4	Employee Relations		yes	yes	yes	yes	Track form SF-50. Process greivance and process EEO complaint must be separate, independtly managed processes with restrictions on availability of certain information. However, system should allow for sharing status and personnel records as required to expedite processing.
HR	5.2.5	Separation		yes	yes	yes*	yes*	Track SF-52.

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automation Target	USAID/W	Regional Center	Small Site	Notes
HR	5.2.6	Labor Relations	Agency has contracts with only 2 unions (CS: collective bargaining; FS: rolling negotiations).	yes	yes	no**	no**	Track grievances.
HR	5.3	Compensation and Benefits						Automate forms processing Also, establishing a linkage for recording property issued to employees could improve property tracking (not a hard requirement).
HR	5.3.1	Compensation		yes	yes	yes*	yes*	Track SF-50 and SF-52 (?). Provide locality pay (multi-country).
HR	5.3.2	Benefits		yes	yes	yes*	yes*	Multi-country.
HR	5.3.3	Generate OPM Transaction Reports			yes	no	no	Tailor reports for OPM or export information for report: SF-113A for workforce compensation, SF-113G for budget
HR	5.4	Payroll	Approximately 60,000 pay transactions per year (LOI).					
HR	5.4.1	Record and Approve Time and Attendance		yes	yes	yes	yes	Currently entered by timekeepers at operating units and forwarded to USAID/W.
HR	5.4.2	Produce Reports		yes	yes	yes	yes?	
HR	5.4.3	Calculate Payroll	History currently retained for 26 pay periods.	yes	yes	yes*	yes*	

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
HR	5.4.4	Produce Disbursements		yes	yes	yes	no	Automated interfaces to US Treasury and OPM (replace current 9-track tape to Treasury). Standardize approach to FSN PSCs in the agency. Currently some missions interface with US Department of State Disbursing Office and others use their own customized systems. Standardize and automate inteface fo financial system for all.
HR	5.4.5	Produce Year-end Reports		yes	yes	no	no	
HR	5.4.6	Update Employee Salary Information		yes	yes	no	no	Track SF-50.
HR	5.4.7	Update Payroll Production Parameters		yes	yes	yes*	yes*	
HR	5.4.8	Pay State Taxes		yes	yes	no	no	Automated interface with US Treasury for some states.
FM	**6**	**Financial Management**	Refer to LOI for details on Financial Management business quantification, automation reqquirements, and operation location. Requirements being implemented in IFMS.					
KM	**7**	**Knowledge Management**						
KM	7.1	Capture Development Knowledge	Current volume of cataloged agency development knowledge assets: over 100,000 documents comprising over 6 million pages (PPC/CDIE).					In addition USAID library contains 10,00 online catalog citations, 450 journals and newsletters, 1000 reference items

Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
								(PPC/CDIE).
KM	7.1.1	Identify Knowledge Assets		yes	yes	yes	yes	Linkage to strategic objectives is essential.
KM	7.1.2	Organize Knowledge Assets		yes	yes	no?	no?	
KM	7.1.3	Store Knowledge Assets		yes	yes	no?	no?	
KM	7.2	Use Development Knowledge						Share contractor development knowledge while protecting contractor proprietary information.
KM	7.2.1	Search for Relevant Knowledge		yes	yes	yes	yes	
KM	7.2.2	Retrieve Relevant Knowledge		yes	yes	yes	yes	
KM	7.3	Maintain Institutional Archives	Current volume of cataloged agency historical records: about 350,000 records comprising over 6.3 million pages (PPC/CDIE)					
KM	7.3.1	Determine Disposition of Records		yes	yes	yes?	yes?	

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Area	Process Number	Process Name	Business Quantification (with source where applicable)	Automat-ion Target	USAID/W	Regional Center	Small Site	Notes
KM	7.3.2	Archive Historical Records		yes	yes	no	no	
KM	7.3.3	Retrieve Archived Records		yes	yes	yes	yes	
Foot-notes								
			* For FSN employees only. For US direct hires, done at Washington only.					
			** FSNs handled at missions under State Department rules, not by USAID/W.					
Sources								
			LOI = USAID Financial Management Systems Software (FMSS) Letter of Interest, TFW-99-01 9Amendment 2, 6/30/99)					
			(LOI available at http://www.usaid.gov/M/FM/FS/fsiloi.htm)					
			1998 Accountability Report = Fiscal Year 1998 Accountability Report, USAID, Washington DC, April 1999					
			(Accountability Report available at http://www.info.usaid.gov)					